

Check-up PLUS 2020 Whole of Government Summary Report

July 2021

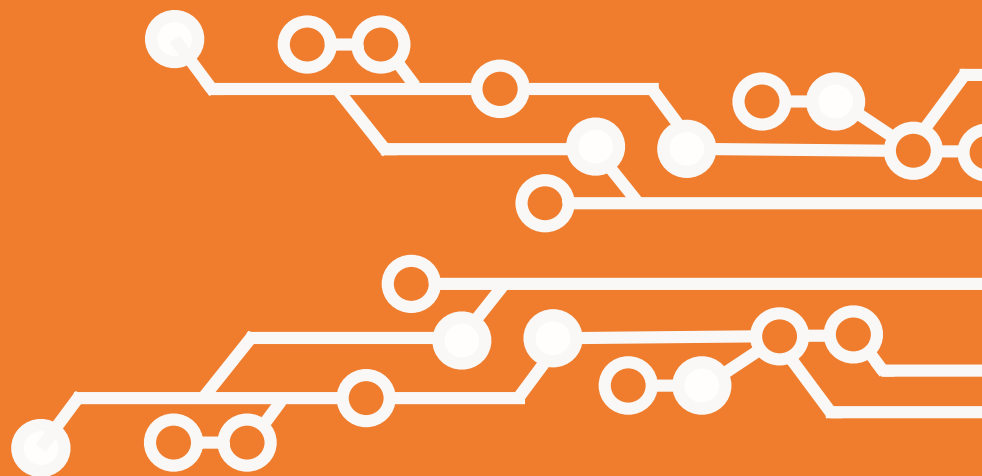


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A note on presentation of results: The report presents results from the third cycle (2020) of the NAA Check-up PLUS online survey that was conducted between December 2020 and April 2021. Comparisons to the first cycle (2018) and second cycle (2019) of the NAA Check-up Plus online survey are also presented where appropriate. Percentages are based on the total number of valid responses made to questions in the survey. Some results shown in this report have been changed to avoid the appearance that rounded percentages do not sum to 100%. These percentages will differ slightly to results shown in other reports, such as individual agency reports, that are based on the underlying data. Results reflect responses from agencies where the particular questions were applicable and where they were answered.

About Check-up PLUS 2020



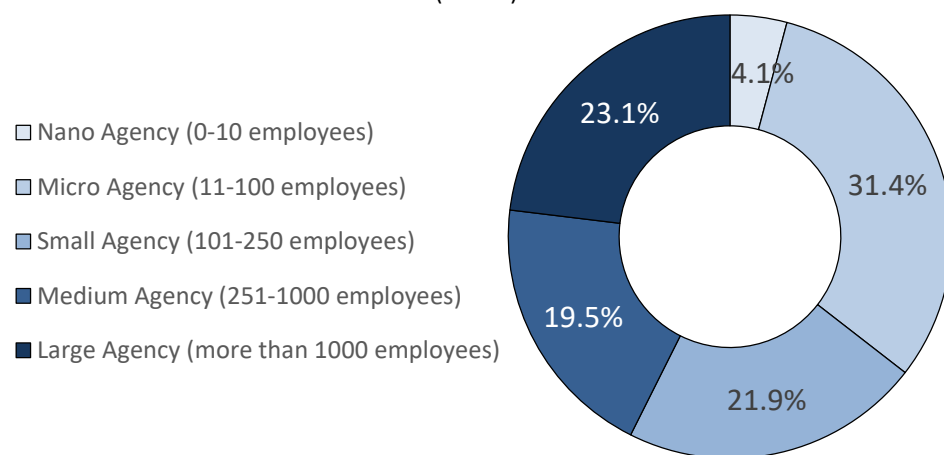
Check-up PLUS is an online self-assessment tool designed to gauge Australian Government agencies' maturity and performance in information and data management. This report presents the results from the 2020 survey with comparisons to 2018 and 2019 results where appropriate.

Recognising the impact of COVID-19 restrictions in 2020, the National Archives of Australia moved to re-schedule the survey (five months later) to enable agencies to attend core business at a time of significant disruption across the Australian Government.

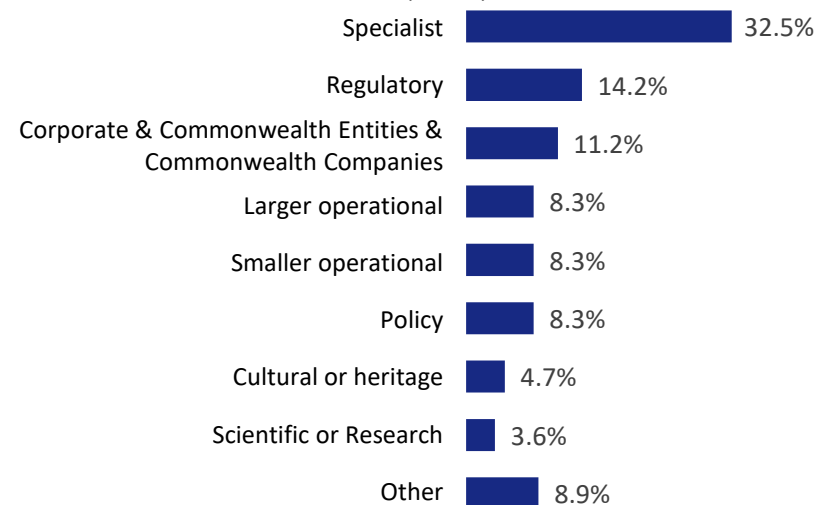
Check-up PLUS is structured to align with the National Archives of Australia (the National Archives) Information Management Standard, which was developed to assist Australian Government agencies to create and manage business information effectively. The Information Management Standard comprises eight principles, consistent with the key concepts and principles of Australian Standard AS ISO 15489.1 (2017) - *Records Management*. The findings of the survey give an understanding of information management maturity and progress towards Digital Continuity 2020 targets.

The National Archives commissioned ORIMA Research to conduct Check-up PLUS over 2018-2022. A total of 169 in-scope agencies completed the 2020 Check-up PLUS survey, although five of these agencies failed to confirm data verification via agency head authorisation by June 2021 - their unverified data is included in this report. A further two agencies did not submit a survey. This report presents a summary of the findings of Check-up PLUS across all in-scope agencies that completed their survey (n=169). The size and functional profile of these agencies is presented below:

Agency size
(n=169)



Agency function
(n=169)



Executive Summary

The 2020 Check-up PLUS survey recorded a **score of 3.38 (out of 5) on the overall information management maturity index**. This rating continues a **positive trend** increase in average maturity scores from **3.13** in 2018 and **3.25** in 2019.

Across the six individual maturity areas, **digital operations** continued to record the **highest maturity level** (4.22), followed by **information creation** (3.89), **storage** (3.60) and **interoperability** (3.30). These areas also saw the largest increases in index score results between 2019 and 2020. Dimensions with **lower maturity levels** including **information governance** (3.15) and **disposal** (2.90) recorded smaller increases in 2020.

Most agencies considered COVID-19 had minimal to no impact (61%) on their agency's information management practices in 2020. Where agencies noted **more significant impacts**, these **were twice as likely to be positive (26%) as they were to be negative (13%)**. Positive impacts were more likely to be identified in digital operations and storing information digitally, whereas negative impacts were more likely to be identified in general information management and information governance.

Agencies were more likely to use a metadata standard (73%) than a data standard (52%). While the Australian Government Recordkeeping Metadata Standard (used by 58% of agencies) was clearly the most common Metadata standard used, a broader range of data standards were commonly used by agencies, including ABS standards for industry classification (21%), statistical geography (19%) and classification of occupations (16%).

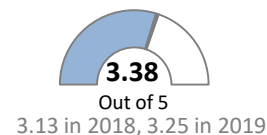
The majority of agencies have adopted cloud based storage and services (85%), with human resources, financial systems and administrative tasks the most common types of information to be stored on the cloud. Uptake of cloud-based storage and services increased at least to some extent for almost half (46%) of agencies as a result of COVID-19.

2020 saw continued progress towards achieving the Digital Continuity 2020 Policy Objectives with a **range of improvements observed across all principles**, as highlighted by:

- **Principle 1 – Information is valued:** senior management support digital information management as a business priority (88%, up from 77% in 2019), staff meet their digital information management roles and responsibilities (66%, up from 54% in 2019).
- **Principle 2 – Information is managed digitally:** work digitally by default (92%, up from 81% in 2019), continually identify and remove paper from internal and external processes to improve efficiency (79%, up from 71% in 2019).
- **Principle 3 – Information, systems and processes are interoperable:** ensure new or updated business systems and services have the capacity to manage information in place for its whole life (51%, up from 45% in 2019).



Overall information management maturity index score:



Lowest maturity levels



Highest maturity levels



Disposal
Governance



Digital operations



Creation



Storage



Interoperability

Smaller operational agencies

Cultural or heritage

Scientific or research agencies

Specialist functions

Information management maturity indexes

The 2020 survey measured agency performance against six information management indexes:



Information Governance

Managing information assets across an entire organisation to support its business outcomes. It involves having frameworks, policies, processes, standards, roles and controls in place to meet regulatory, legal, risk and operational requirements.



Information Creation

Creating business information that is fit for purpose to effectively support business needs.



Interoperability

Supporting the use and reuse of government information and data as key assets. Providing accessible, consistent, coordinated and more timely services, and reducing obsolescence and costs.



Storage

Storing business information securely and preserving it in a useable condition for as long as required for business needs and community access.



Disposal

Keeping business information for as long as required after which time it should be accountably destroyed or transferred.



Digital Operations[^]

Managing information as an asset and creating and managing information in digital format, including via business processes such as digital authorisations and approvals.



Overall*



[^] This index was not included in the 2018 survey analysis.

* The overall maturity index is calculated as a weighted average of the above six information maturity indexes based on the National Archives' assessment of their relative importance.

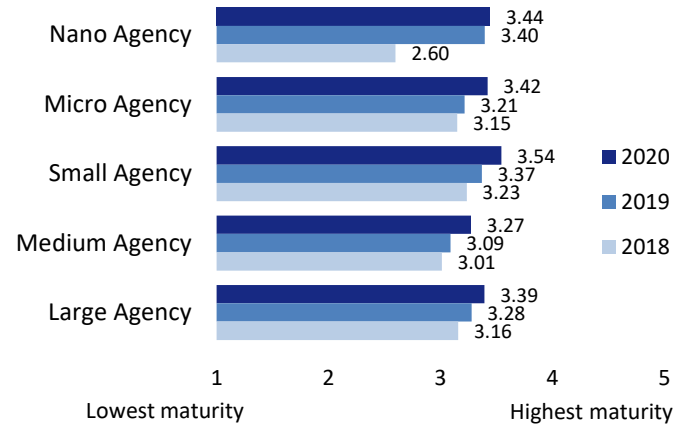
Overall information management maturity index by...

agency size:



Agency size key:

Nano Agency: 0-10 employees
Micro Agency: 11-100 employees
Small Agency: 101-250 employees
Medium Agency: 251-1000 employees
Large Agency: more than 1000 employees

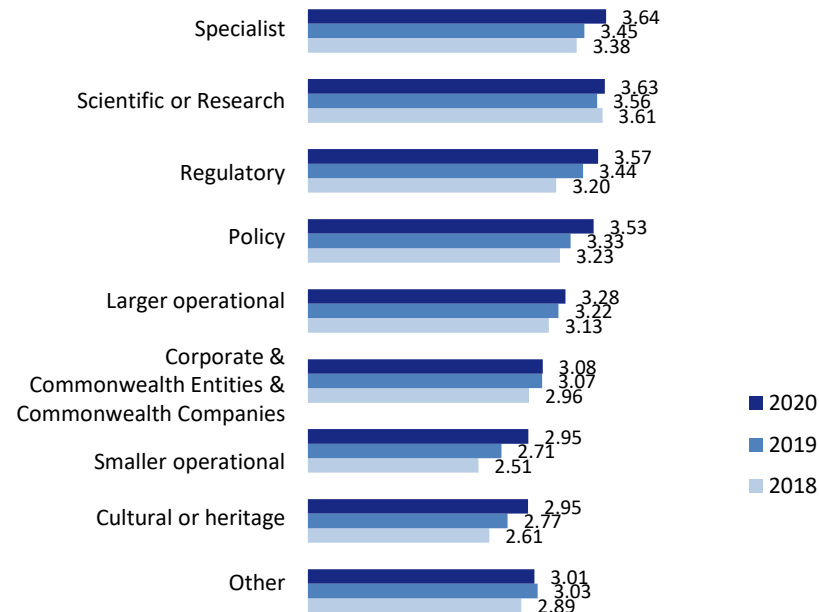


All agency sizes recorded an improved score in 2020 compared to previous results. Small agencies continue to record the highest maturity rating (3.54 in 2020).

agency function:



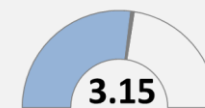
The **lowest** maturity scores were amongst agencies with cultural or heritage (2.9) and smaller operational (3.0) functions.



Agencies with **specialist; scientific or research; or regulatory functions** recorded the **highest maturity** scores on average in 2020 (all around 3.6).

Governance – Strategies, policies & procedures

Governance Maturity Index



(3.08 in 2019, 3.04 in 2018)

Check-up
PLUS



Compared to 2018 results, there was an increase in the proportion of agencies that have policies in place for confidentiality, privacy or data protection, and information management. Other procedures such as information security, agency specific records authorities, and accountable disposal recorded minimal change to the previous year.

The proportion of agencies that have the following strategies, policies and procedures in place (either up-to-date or needing to be updated):

87% have a **Confidentiality, Privacy or Data protection strategy and disclosure policy** in place (up from 83% in 2018)

86% have an **information management policy** in place (up from 81% in 2018)

85% have an **information security policy** in place (up from 83% in 2018)

84% have **agency specific records authorities** in place (consistent with 84% in 2018)

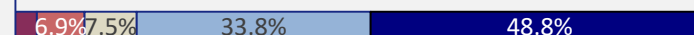
79% have **accountable disposal policy and procedures** in place (up from 78% in 2018)

Confidentiality, Privacy or Data protection strategy and disclosure policy

2020 (n=169)

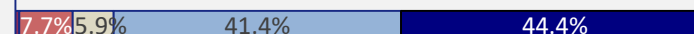


2018 (n=160)

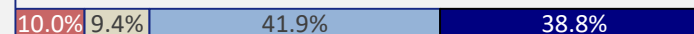


Information management policy

2020 (n=169)



2018 (n=160)

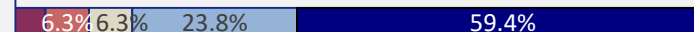


Information security policy including (Protective Security Policy Framework or PSPF requirement)

2020 (n=169)

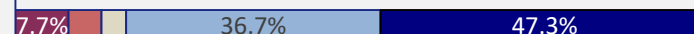


2018 (n=160)



Agency specific records authorities

2020 (n=169)

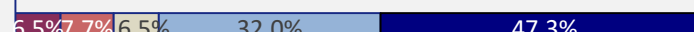


2018 (n=160)

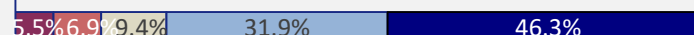


Accountable Disposal policy and procedures

2020 (n=169)



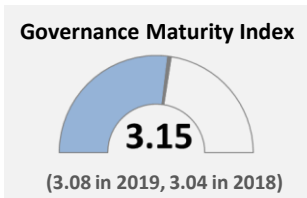
2018 (n=160)



- Is not developed / planned (yet)
- A draft version is under development
- Is in place and up-to-date / current

- Planning / consultation has commenced to develop
- Is in place but needs to be updated / revised

Governance – Strategies, policies & procedures



Check-up PLUS



Across the remaining strategies, policies and procedures that were measured, agencies in 2020 were more likely to report they have these in place (compared to 2018 results). Although the proportion of agencies with enterprise-wide information architecture remains low (39%) this did increase from 35% in 2018.

The proportion of agencies that have the following strategies, policies and procedures in place (either up-to-date or needing to be updated):

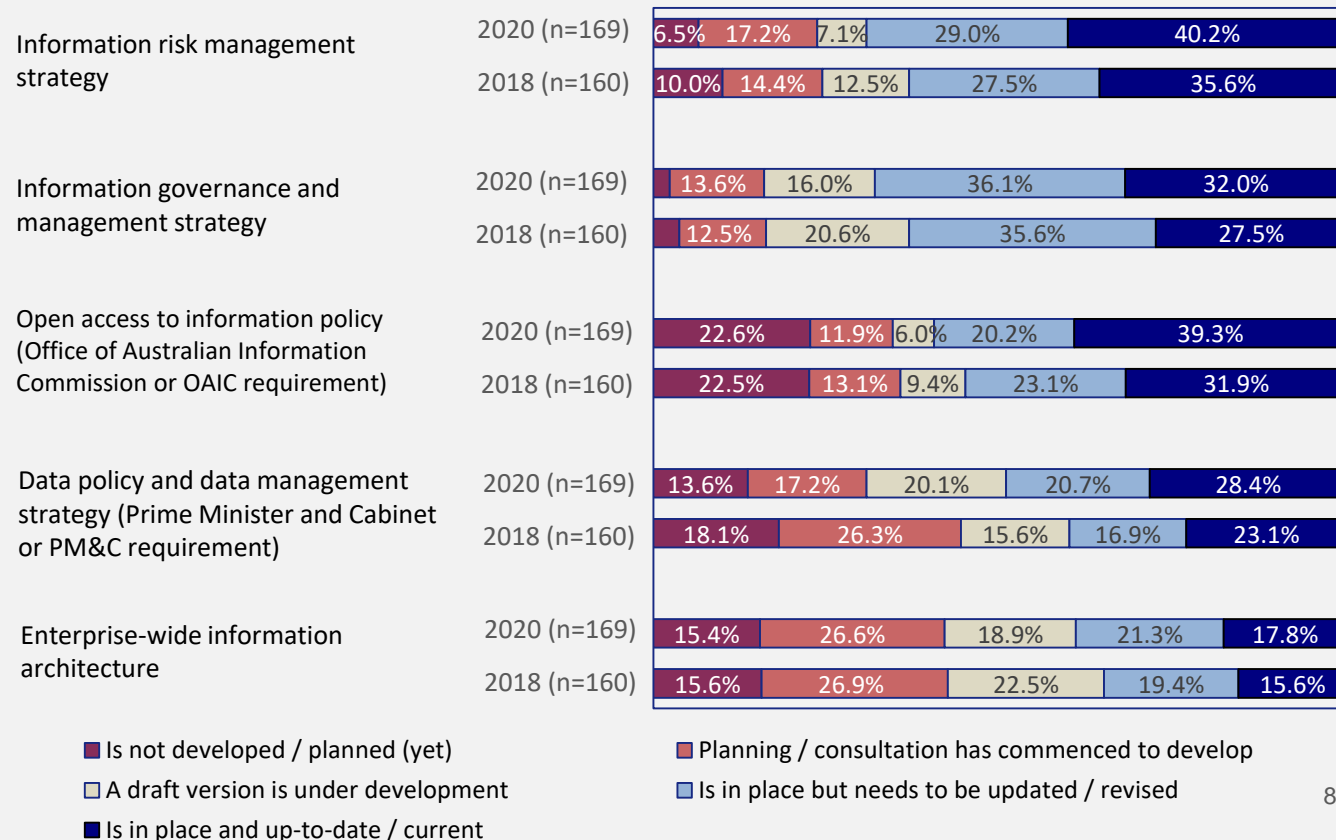
69% have an **information risk management strategy** in place (up from 63% in 2018)

68% have an **information governance and management strategy** in place (up from 63% in 2018)

60% have an **open access to information policy** in place (up from 55% in 2018)

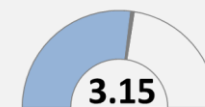
49% have a **data policy and data management strategy** in place (up from 40% in 2018)

39% have **enterprise-wide information architecture** in place (up from 35% in 2018)



Governance – Risk Management

Governance Maturity Index



(3.08 in 2019, 3.04 in 2018)

Check-up
PLUS



Encouragingly, the proportion of agencies that rarely, never or only sometimes engaged in a range of risk management behaviours decreased when compared to 2018 results. However there remains a significant minority of agencies that did not regularly undertake systemic risk management activities.

The proportion of agencies that had implemented the following best practices rarely / never or sometimes:

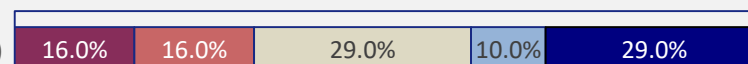
32% rarely / never or sometimes **create and maintain an information asset register, catalogue or systems register** (down from 38% in 2018)

38% rarely / never or sometimes **undertake audits or reviews to identify the agency's information assets and the business owners** (down from 42% in 2018)

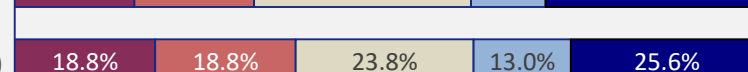
40% rarely / never or sometimes **undertake regular, systemic risk management activities** (down from 48% in 2018)

Create and maintain an information asset register, catalogue or systems register.

2020 (n=169)

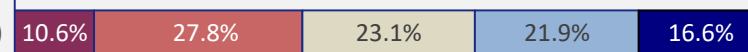


2018 (n=160)

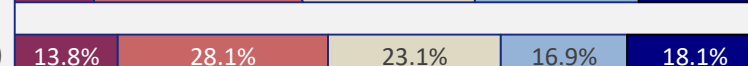


Undertake audits or reviews to identify the agency's information assets and the business owners.

2020 (n=169)

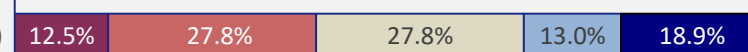


2018 (n=160)

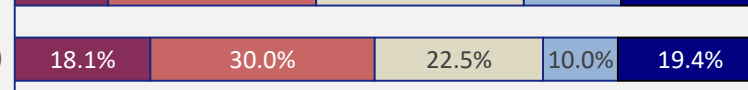


Undertake regular, systemic risk management activities such as training, process reviews and application of security protocols specifically focused on information management.

2020 (n=169)

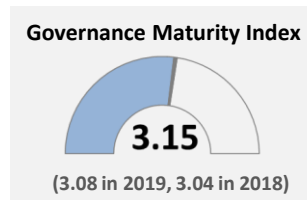


2018 (n=160)



- Rarely / never
- Sometimes, for our highets value assets
- Often, for our high value information
- Usually, with only low value or legacy still to be managed
- Almost always / always

Governance – Risk Management



Agencies were also less likely in 2020 to rarely / never or sometimes undertake various risk management strategies. While this is an encouraging trend, there remains room for further improvement – highlighted by around two-thirds of agencies (68%) that rarely / never or sometimes use analytics to identify how information is being used and how long it needs to be kept for.

The proportion of agencies that had implemented the following best practices rarely / never or sometimes:

47% rarely / never or sometimes **describe information assets to create an information architecture for seamless sharing and reuse of information** (up from 51% in 2018)

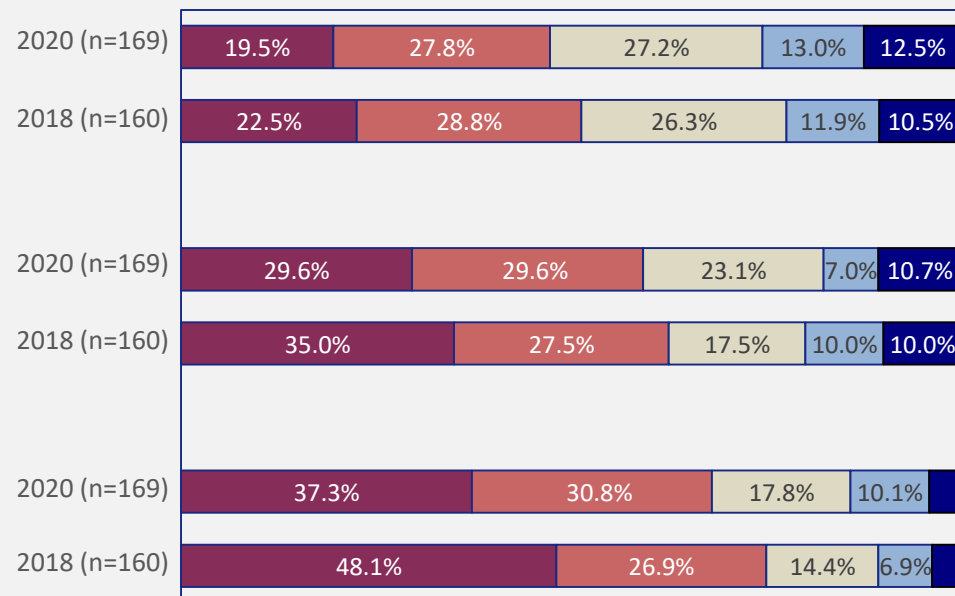
59% rarely / never or sometimes **report results of information management risk assessments** (down from 63% in 2018)

68% rarely / never or sometimes **use analytics to identify how information is being used and how long it needs to be kept for** (down from 75% in 2018)

Describe information assets through taxonomies, ontologies, categorisation tools, creating an information architecture that enables seamless sharing and reuse of information.

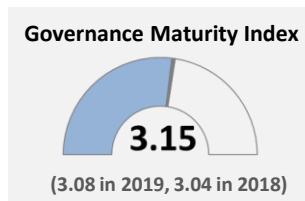
Report results of information management risk assessments, including metrics and the level of success achieved.

Use analytics to identify how information is being used and how long it needs to be kept.



- Rarely / never
- Sometimes, for our highest value assets
- Often, for our high value information
- Usually, with only low value or legacy still to be managed
- Almost always / always

Governance – Risk Management



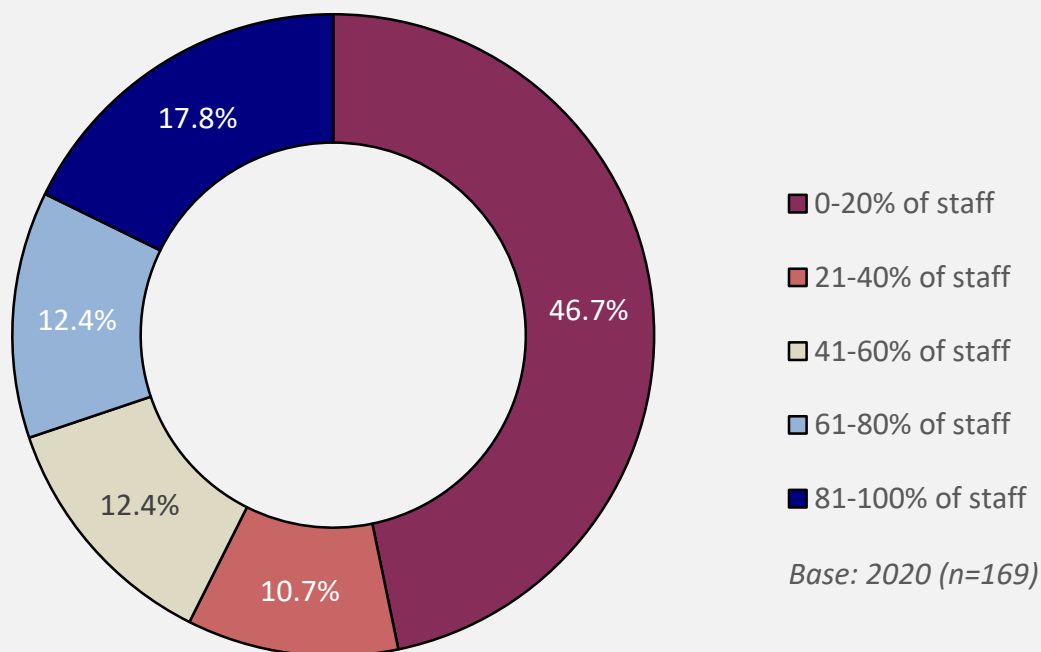
Check-up
PLUS



Almost half (47%) of all agencies indicated that just 0-20% of their staff who had responsibility for information management possessed (or were in the process of obtaining) relevant qualifications and/or accreditations. On a more positive note, 18% of agencies reported that 81-100% of their staff who had this responsibility had (or were in the process of obtaining) a qualification/accreditation.

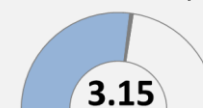
What proportion of staff responsible for information management possess professional qualifications and/or accreditations?

(This includes staff in the process of obtaining qualifications and/or certification.)



Governance – Practices

Governance Maturity Index



(3.08 in 2019, 3.04 in 2018)

Check-up
PLUS



Continuing the upwards trend observed in 2019, a higher proportion of agencies in 2020 indicated they usually or always follow a range of best practices in relation to information management. This includes almost two-thirds of agencies that usually or always establish information management roles and responsibilities (63%, compared to 54% in 2019).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

63% established information management roles and responsibilities and articulated these throughout the agency (up from 54% in 2019)

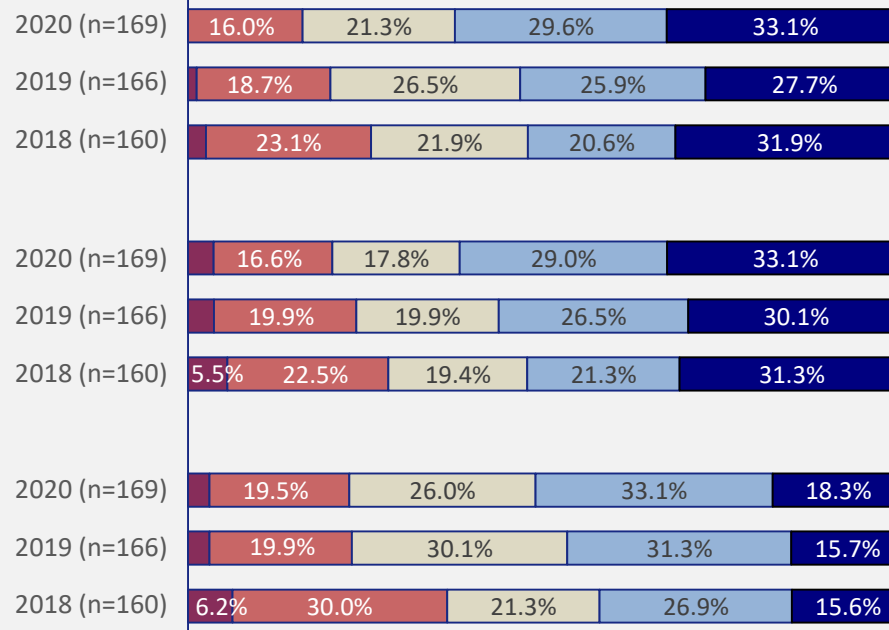
62% of agencies have provided all staff with access to appropriate training to develop contemporary information management skills (up from 57% in 2019)

51% implemented information governance holistically (up from 47% in 2019)

Information management roles and responsibilities are established and articulated throughout the agency.

Everyone has had access to appropriate training to develop contemporary information management skills, ensuring they have the capability to manage information for as long as it is required.

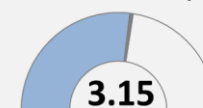
Information governance is implemented holistically to ensure complete and consistent management of all business information regardless of format, location, type or value.



■ Rarely / never
■ Sometimes
■ Often
■ Usually / most of the time
■ Almost always / always

Governance – Practices

Governance Maturity Index



(3.08 in 2019, 3.04 in 2018)

Check-up
PLUS



The majority of agencies usually or always have contractual arrangements requiring complete and consistent management of Australian government information (78%, up from 71% in 2018). However there remains a lower proportion of agencies that usually or always manage data across its lifecycle using systems and processes to reduce manual work (50%, up from 45% in 2018).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

78% have contracted arrangements requiring complete and consistent manage of Australian Government information (up from 71% in 2018)

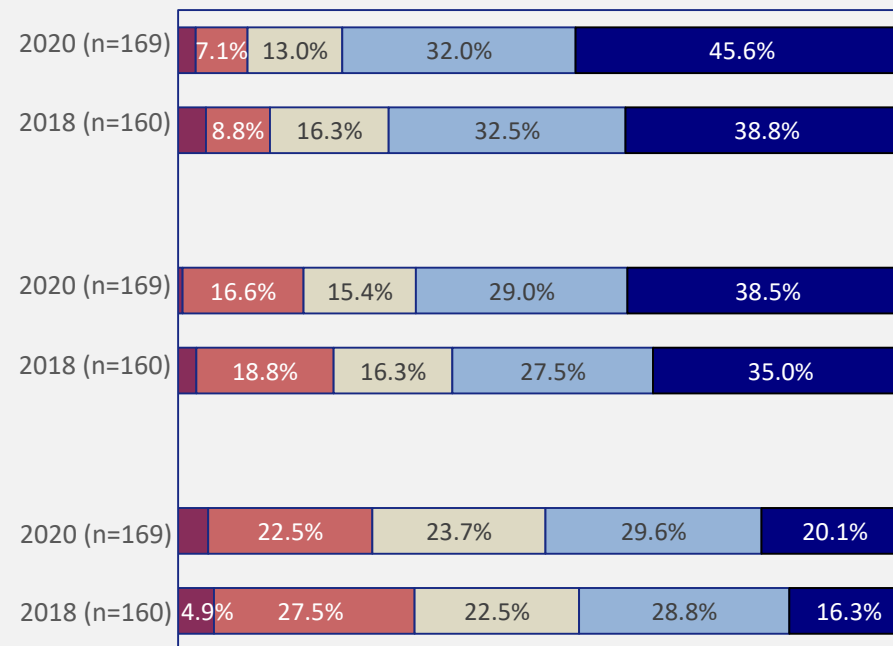
68% have made their staff aware of their information management responsibilities (up from 63% in 2018)

50% manage data across its lifecycle using systems and processes to reduce manual effort (up from 45% in 2018)

Contractual arrangements require the complete and consistent management of Australian Government information. This includes when information is held with third party providers, in the cloud or under shared services arrangements.

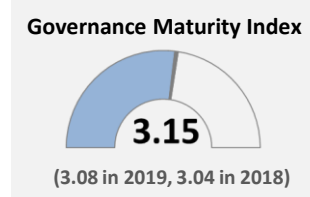
Everyone has been made aware of their information management responsibilities.

Data is managed across its lifecycle using systems and processes to reduce manual effort.



■ Rarely / never
 ■ Sometimes
 ■ Often
 ■ Usually / most of the time
 ■ Almost always / always

Governance – Information governance mechanisms



Check-up
PLUS

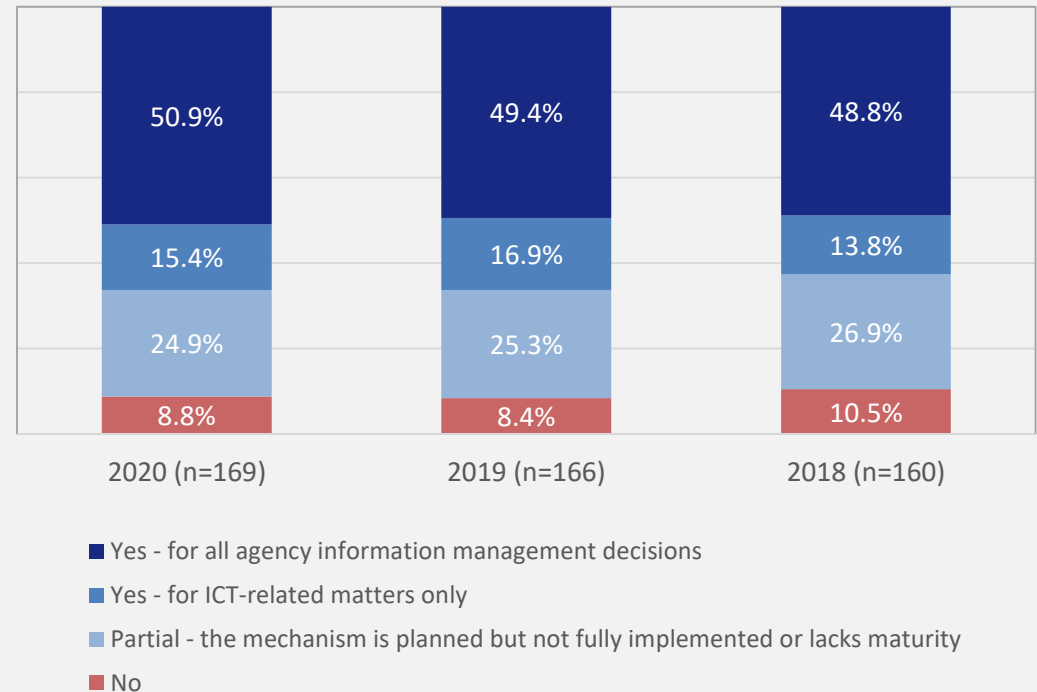


Just over half of all agencies (51%) have a formal governance mechanism with broad representation for ensuring information management requirements are considered in decision making. The results for 2020 were broadly consistent with previous years.

The proportion of agencies that had formal governance mechanisms (for example an information governance committee) for ensuring information management requirements are considered when making decisions:

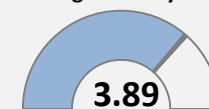
51% of agencies had established a formal governance mechanism for all agency information management decisions.

- **15%** had a mechanism for ICT only
- **25%** had planned but not fully implemented a formal governance mechanism for information management
- **9%** did not have a mechanism in place



Creating / Generating Information

Creating Maturity Index



(3.72 in 2019, 3.63 in 2018)

Check-up
PLUS



Agencies reporting they usually or always implement a range of best practices for creating information has increased yearly since 2018. This includes 79% of agencies that usually or always identify and remove paper from internal and external process to improve efficiency (up from 58% in 2018), and 50% that regularly use appropriate technologies to automate processes (up from 31% in 2018).

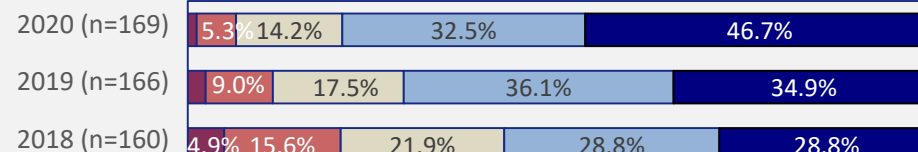
The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

79% identify and remove paper from internal and external processes to improve efficiency (up from 71% in 2019)

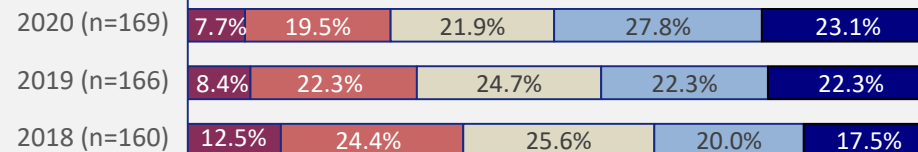
51% ensure new or updated business systems can manage information for its whole life (up from 45% in 2019)

50% use appropriate technologies to automate processes (higher than 45% in 2019)

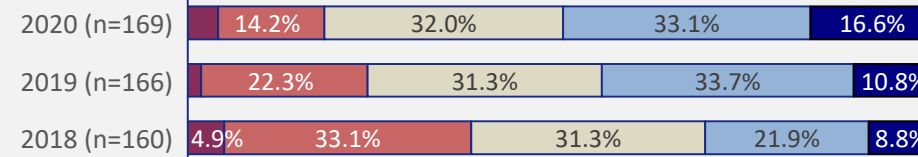
Identify and remove paper from internal and external processes to improve efficiency.



Ensure new or updated business systems and services (Software as a Service - SaaS) have the capacity to manage information in place for its whole life.



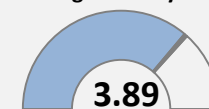
Use appropriate technologies to automate processes.



■ Rarely / never
 ■ Sometimes
 ■ Often
 ■ Usually / most of the time
 ■ Almost always / always

Creating / Generating Information

Creating Maturity Index



(3.72 in 2019, 3.63 in 2018)

Check-up
PLUS



Despite the increases seen across other best practices for creating information, the proportion of agencies that usually or always automate the discovery and removal of duplicate, redundant, obsolete and trivial information remains low (13% in both 2020 and 2018).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

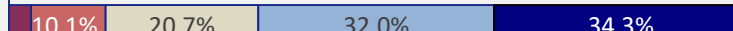
66% convert existing analogue formats to digital formats where there is a value to business (up from 53% in 2018)

65% automate the process of information creation with digital systems and tools (up from 55% in 2018)

13% automate the discovery and removal of duplicate or unnecessary information (consistent with 13% in 2018)

Convert existing analogue formats to digital formats where there is a value to business.

2020 (n=169)



2018 (n=160)



Automate the process of information creation with digital systems and tools, for efficient and effective information management.

2020 (n=169)



2018 (n=160)

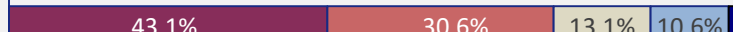


Automate the discovery and removal of duplicate, redundant, obsolete and trivial information.

2020 (n=169)



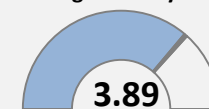
2018 (n=160)



■ Rarely / never
 ■ Sometimes
 ■ Often
 ■ Usually / most of the time
 ■ Almost always / always

Creating / Generating Information

Creating Maturity Index



(3.72 in 2019, 3.63 in 2018)

Check-up
PLUS



The vast majority of agencies usually or always comply with practices relating to appropriately creating and capturing records. Improvements were recorded in these ratings between 2018 and 2020.

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

91% have created information as evidence of government business to enable business operations, decisions and continuity (up from 87% in 2018)

90% have captured communications, research and investigations, deliberations, decisions made and actions taken (up from 85% in 2018)

85% do not keep information and data in uncontrolled environments (up from 78% in 2018)

Create information as evidence of government business, enabling business operations, decisions and continuity

2020 (n=167)

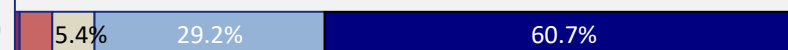


2018 (n=157)



Capture communications, research and investigations, deliberations, decisions made and actions taken.

2020 (n=168)

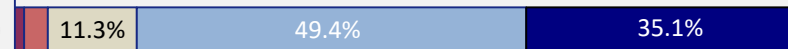


2018 (n=158)



[Do not] Keep information and data in uncontrolled environments.*

2020 (n=167)



2018 (n=157)

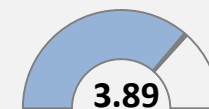


*Note: This question was framed as a negative statement in the survey. Its results have been presented in reverse order to allow comparison with the other positive statements in this section.

■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Creating / Generating Information

Creating Maturity Index



(3.72 in 2019, 3.63 in 2018)

Check-up
PLUS



Similar to 2018, the majority of agencies usually or always comply with practices relating to the management and storage of information in 2020 – this include creating and capturing complete and accurate information (83%, up from 77% in 2018), and managing information in place, in business systems with appropriate functionality (74%, up from 63%).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

83% have created and captured information that is complete and accurate (up from 77% in 2018)

74% manage information in place, in business systems with appropriate functionality (up from 63% in 2018)

63% store unstructured and semi-structured information in approved systems (up from 50% in 2018)

Create and capture information that is complete, accurate and reliable.

2020 (n=167)

2018 (n=157)

Manage information in place, in business systems with appropriate functionality.

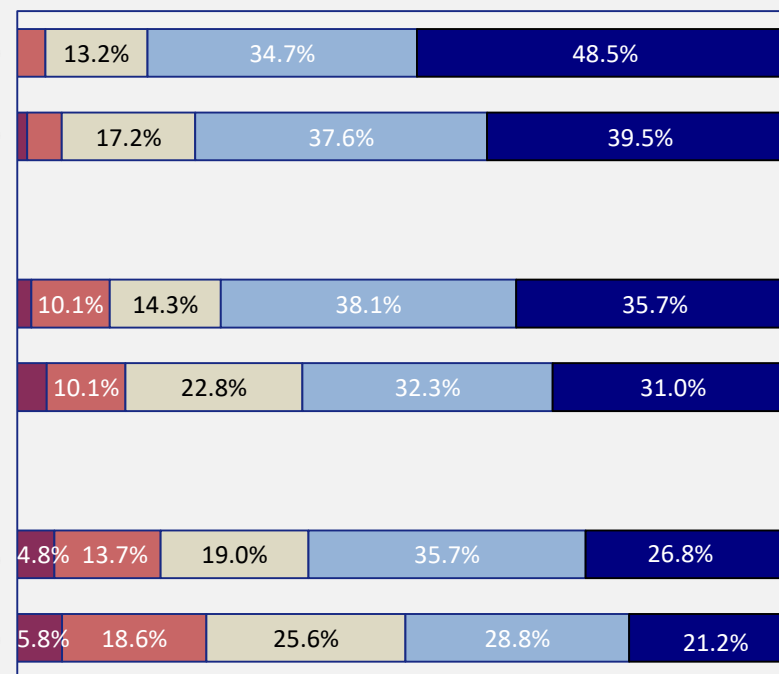
2020 (n=168)

2018 (n=158)

Store unstructured and semi-structured information in the agency's approved information management systems.

2020 (n=168)

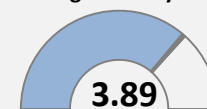
2018 (n=156)



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Creating / Generating Information - Barriers

Creating Maturity Index



(3.72 in 2019, 3.63 in 2018)

Check-up
PLUS



Compared to 2018 results, agencies in 2020 were more likely to indicate a range of barriers rarely exist when it comes to creating and generating information. This includes 82% of agencies stating they rarely or only sometimes lack access to appropriately secured systems for security classified digital information.

*The proportion of agencies that indicated the following barriers **rarely / never** exist for progressing towards digital information management:*

82% for lack of access to appropriately secured systems (up from 73% in 2018)

58% for risk averse culture (up from 42% in 2018)

43% for the agency's technological environment (with relation to use, reuse and sharing) (up from 41% in 2018)

38% for manual processes (up from 21% in 2018)

38% for lack of suitably qualified and experienced information management staff (up from 34% in 2018)

Does lack of appropriately secured systems for security classified digital information prevent progress toward digital information management?

2020 (n=169)

2018 (n=160)

Is a risk averse culture preventing progress toward digital information management?

2020 (n=169)

2018 (n=160)

Does your agency's technological environment prevent data use, reuse and sharing?

2020 (n=169)

2018 (n=160)

Are manual processes preventing your agency's progress toward digital information management?

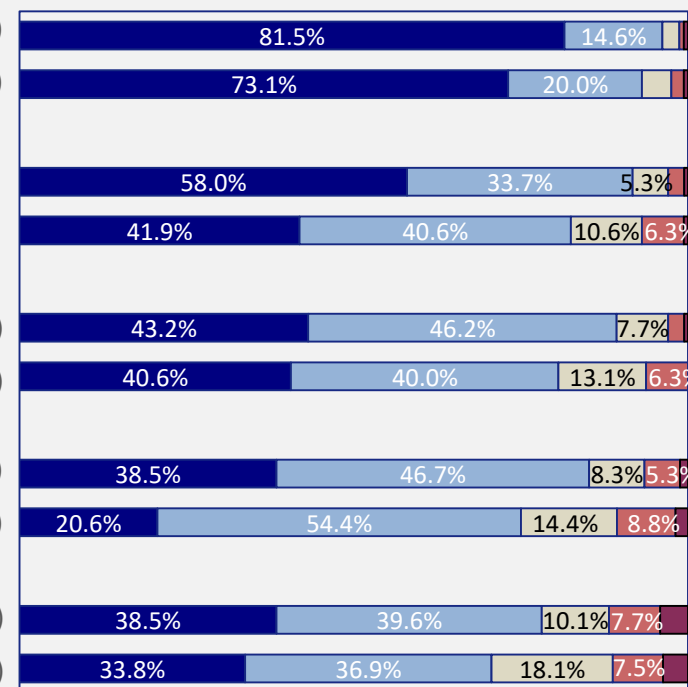
2020 (n=169)

2018 (n=160)

Does lack of suitably qualified and experienced information management staff prevent progress toward digital information management?

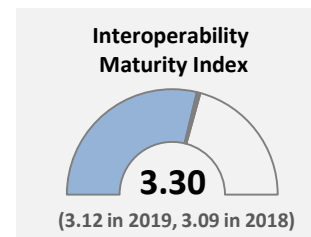
2020 (n=157)

2018 (n=160)



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Interoperability



Check-up
PLUS



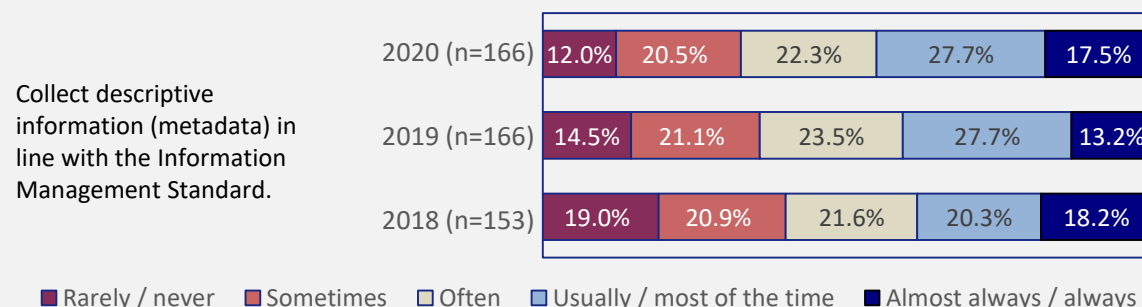
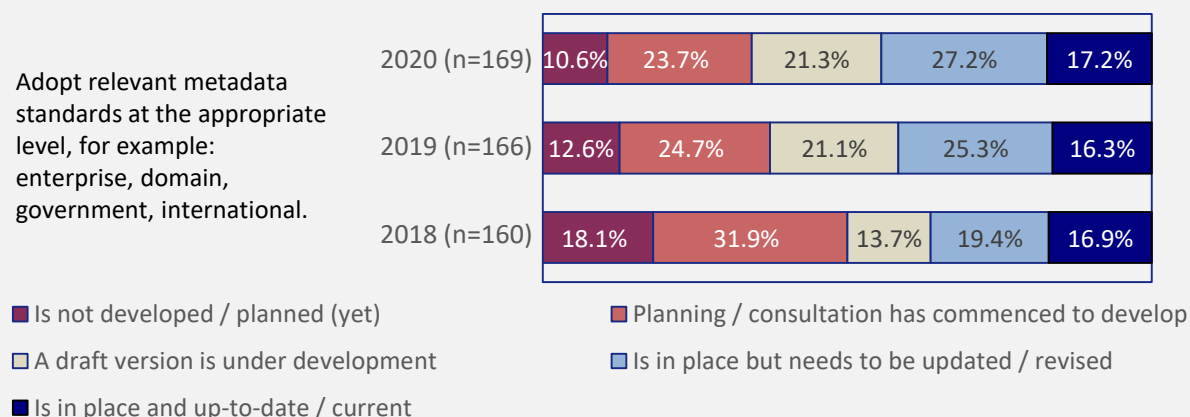
Since 2018, there has been an upward trend in the proportion of agencies that usually or always adopt relevant metadata standards at the appropriate level, and those that collect descriptive information in line with the Information Management Standard.

The proportion of agencies that have implemented the following interoperability measures:

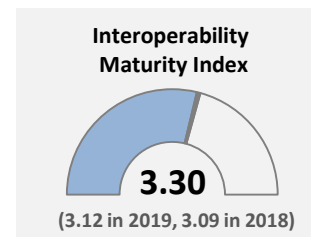
44% have relevant metadata standards at the appropriate level currently in place (either up-to-date or needs to be updated) (up from 42% in 2019)

45% collect descriptive information in line with the Information Management Standard usually or always (up from 41% in 2019)

See also [Page 36](#) for a presentation of Metadata Standards used by agencies and [Page 37](#) for how agencies share Metadata



Interoperability



Check-up
PLUS



Despite improvements, agencies continued to report mixed ratings for implementing various interoperability best practices. The proportion answering they usually or always follow these practices ranged from 32% (for identifying data flow issues) to 64% (for adopting standardised file formats to enable use and reuse).

The proportion of agencies that have implemented the following interoperability measures (usually or always):

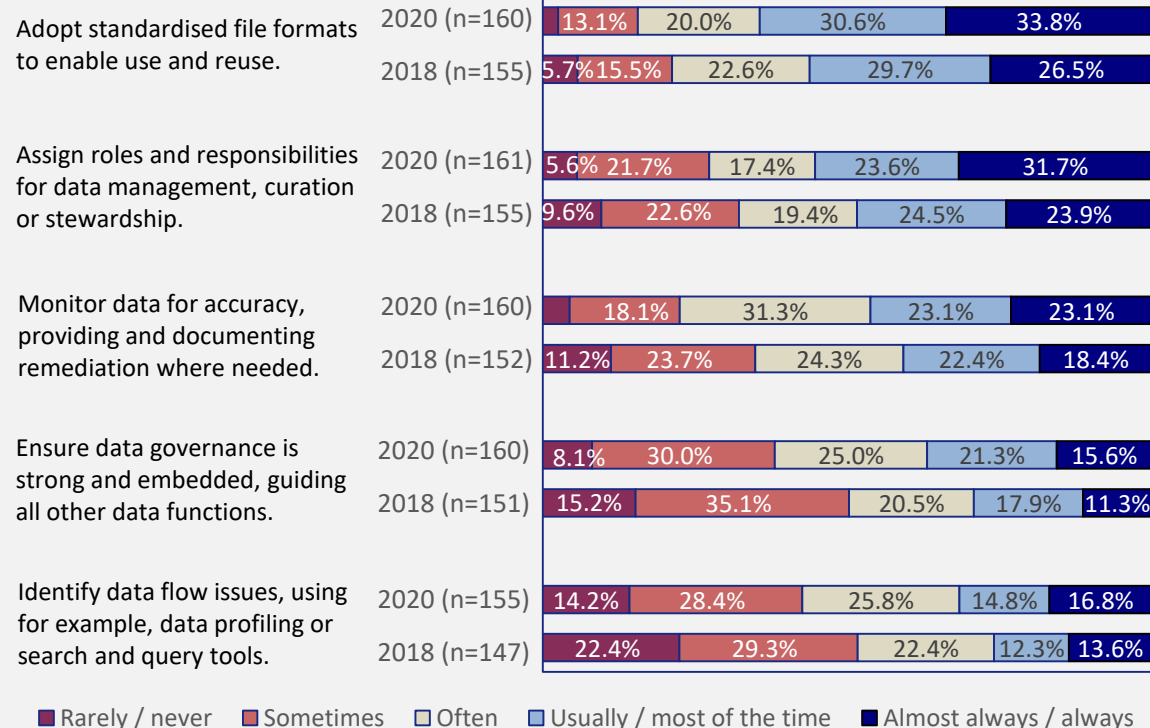
64% have adopted standardised file formats (up from 56% in 2018)

55% have assigned roles and responsibilities for data management (up from 48% in 2018)

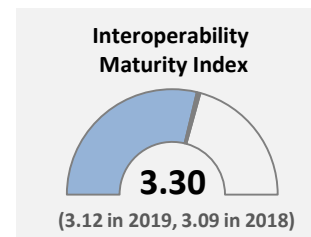
46% monitor data for accuracy to document remediation where needed (up from 41% in 2018)

37% ensure data governance is strong and embedded (up from 29% in 2018)

32% identify data flow issues through techniques such as data profiling or query tools (up from 26% in 2018)



Interoperability



Check-up
PLUS



Actions taken by agencies to enable access to information according to legislation, user rights and permissions was varied. While most agencies have implemented authentication processes, access rights and privileges to systems and applications that are responsive to users' roles (89%), just under half have adopted an open by default position to document exceptions and conditions on whether access is granted (48%).

The proportion of agencies that have implemented the following interoperability measures (usually or always):

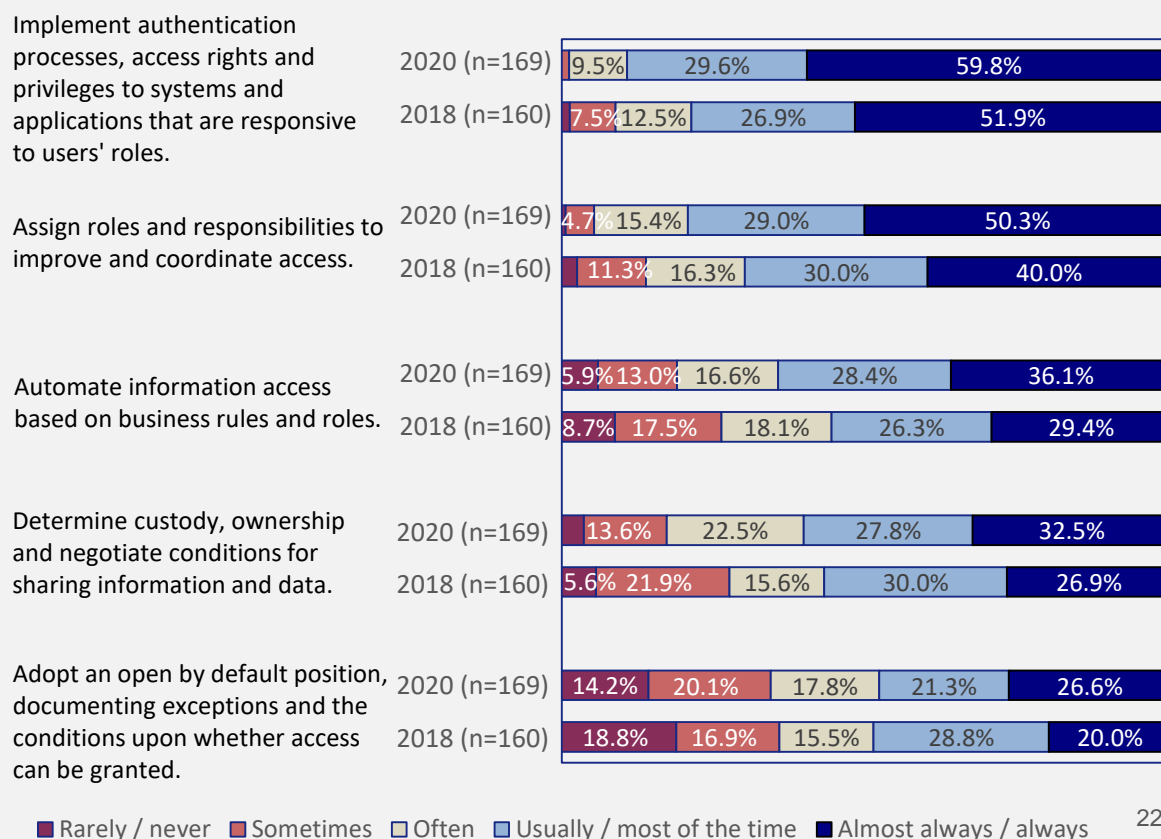
89% have implemented various authentication processes (up from 79% in 2018)

79% have assigned roles and responsibilities to improve and coordinate access (up from 70% in 2018)

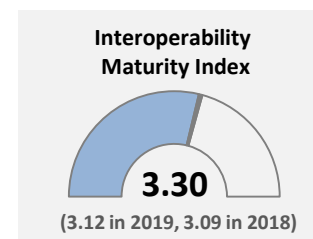
65% have automated information access based on business rules and roles (up from 56% in 2018)

60% have determined custody and ownership for sharing information and data (up from 57% in 2018)

48% have adopted an open by default position to documents conditions on whether access can be granted (down from 49% in 2018)



Interoperability



Check-up
PLUS



While improved from 2018, well under half of agencies have implemented up-to-date interoperability measures to adopt relevant metadata standards at the appropriate level (44%), undertake discovery and indexing activities using data catalogues, registers or indexes (37%) and use a metadata repository or register (37%).

The proportion of agencies that have implemented the following interoperability measures (is in place and up-to-date, or needs to be updated):

44% have adopted relevant metadata standards at the appropriate level (up from 36% in 2018)

37% have undertaken data discovery and indexing activities using data catalogues, data set registers or indexes (up from 29% in 2018)

37% manage metadata using a metadata repository or register (up from 31% in 2018)

Adopt relevant metadata standards at the appropriate level, for example: enterprise, domain, government, international.

2020 (n=169)

2018 (n=160)

Undertake data discovery and indexing activities using data catalogues, dataset registers or indexes.

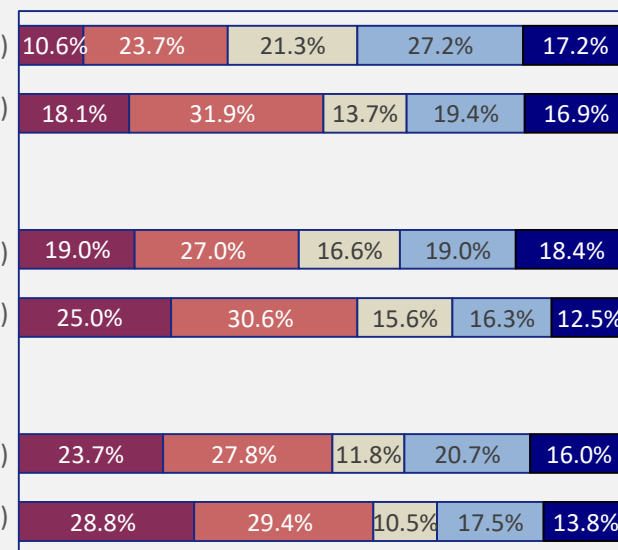
2020 (n=163)

2018 (n=160)

Manage metadata using a metadata repository or register.

2020 (n=169)

2018 (n=160)



■ Is not developed / planned (yet)

■ A draft version is under development

■ Is in place and up-to-date / current

■ Planning / consultation has commenced to develop

■ Is in place but needs to be updated / revised

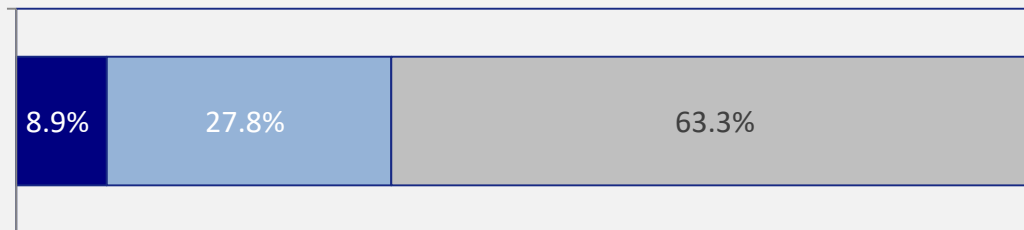
Interoperability



Over a third of agencies (37%) contribute or lead a whole of government or cross agency process. In contrast, one in four (25%) agencies rarely or never incorporate information governance requirements into their whole of government or cross agency processes.

Does your agency contribute or lead any whole of government or cross agency processes e.g., Parliamentary Workflow Solution, GovCMS, whole of Government procurement, collaborative projects or partnerships?

2020 (n=169)



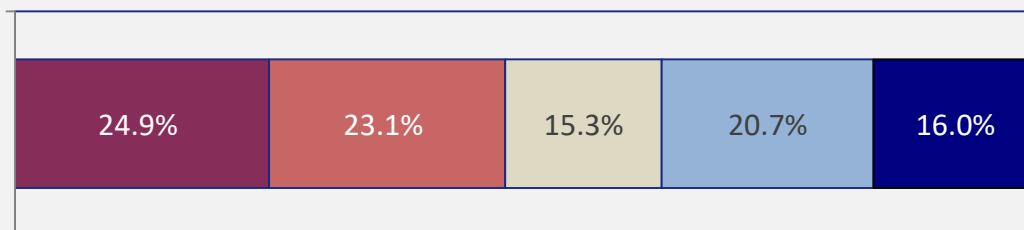
■ Yes – a high level (lead)

■ Yes – a medium or low level (contribute)

■ No

Incorporate information governance requirements into its whole of government and/or cross agency processes

2020 (n=169)



■ Rarely / never

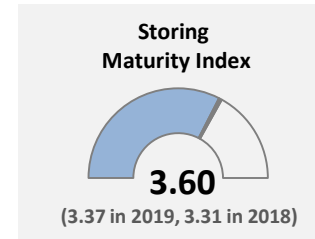
■ Sometimes

■ Often

■ Usually / most of the time

■ Almost always / always

Storing (and preserving) information digitally



Check-up
PLUS



Most agencies usually or always ensure information that needs protection is identified and managed appropriately (86%). There is a sizeable gap to the next most common activity for storing (and preserving) digital information on a regular basis, with 63% migrating information into current business systems usually or always. All these aspects have shown solid to strong improvements since 2018.

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

86% ensure information that needs to be protected or secured is identified and managed appropriately (higher than 78% in 2018)

63% migrate information into current business systems where there is need or business value (higher than 55% in 2018)

61% implement preservation strategies, procedures and activities to ensure information is accessible and understood for as long as required (higher than 54% in 2019 and 46% in 2018)

Ensure information that needs to be protected or secured (personally identifiable information, national security) is identified and managed appropriately (Information Security Manual requirement).

Migrate information into current business systems where there is need or business value.

Implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required.

2020 (n=169)

2018 (n=160)

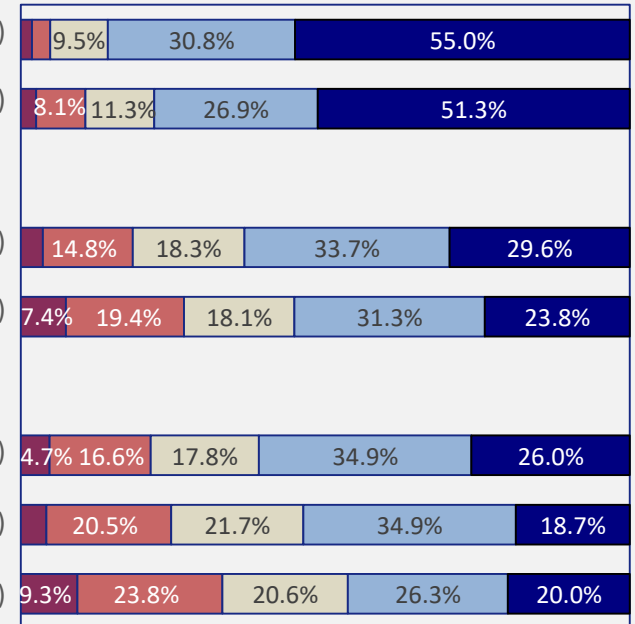
2020 (n=169)

2018 (n=160)

2020 (n=169)

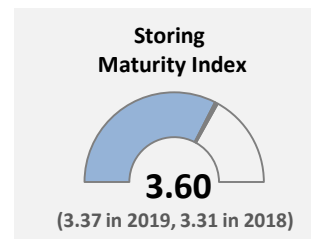
2019 (n=166)

2018 (n=160)



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Storing (and preserving) information digitally



Check-up PLUS



The remaining assessed aspects of storing and preserving information recorded similar improvements since 2018 – in particular, the majority of agencies that usually or always use contemporary technologies to reduce the cost of digital storage (60%, up from 42%).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

60% use contemporary technologies to reduce the cost of digital storage (higher than 42% in 2018)

50% ensure information and data movements are traceable and transparent (higher than 43% in 2018)

48% convert and migrate information and its metadata to ensure it remains usable (higher than 41% in 2018)

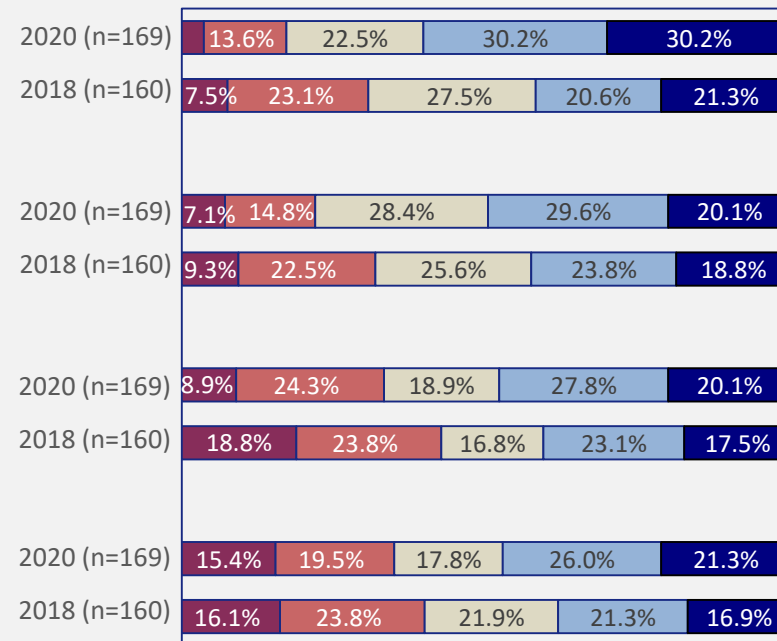
47% ensure digital repositories have appropriate functionality to preserve information according to its value (higher than 38% in 2018)

Use contemporary technologies to reduce the cost of providing and managing digital information storage.

Ensure information and data movements are traceable and transparent, and metadata accompanies data throughout its life.

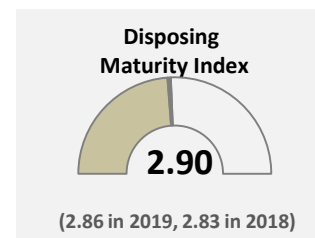
Convert and migrate information and its metadata to ensure it remains usable.

Ensure digital repositories have appropriate functionality to preserve information according to its value.



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Disposing – Destruction and transfer



Check-up PLUS



Compared to other maturity areas, agencies' ratings of disposal, destruction and transfer of information showed the most scope for improvement. For example, the most common best practice in this area – establishing governance across all business systems to identify and dispose of agency information assets – was only usually or always done by 51% of agencies.

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

51% establish governance across all business systems for the identification, destruction or transfer of agency information assets (up from 42% in 2018).

47% base the transfer of information, to the National Archives or during MoG changes, on shared standards and agreed business requirements (up from 46% in 2018).

37% ensure existing information has been sentenced and the disposal action is known (up from 33% in 2018).

Establish governance across all business systems for the identification, disposal (destruction or transfer) of agency information assets.

Base the transfer of information, both to the Archives or during Machinery of Government changes, on shared standards (for example, Archives' minimum metadata set requirements) and agreed business requirements.

Ensure existing information has been sentenced and the disposal action is known (even if it has not been carried out).

2020 (n=169)

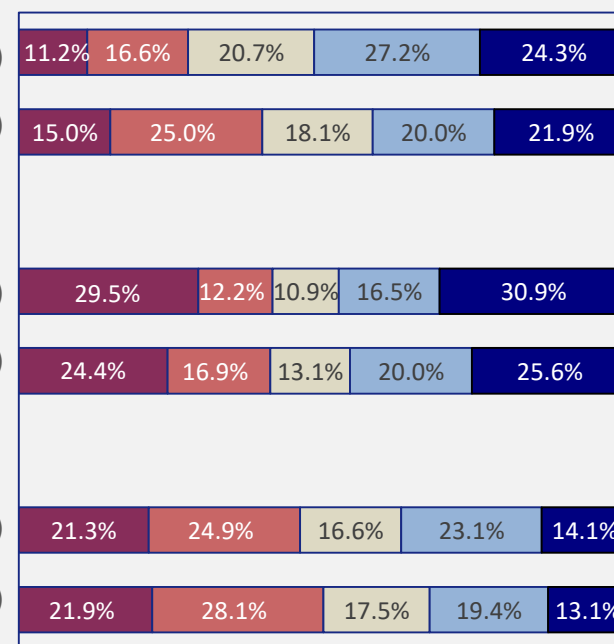
2018 (n=160)

2020 (n=139)

2018 (n=160)

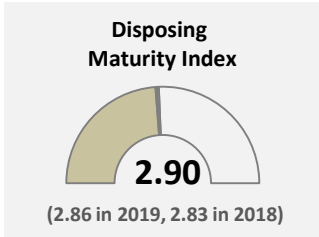
2020 (n=169)

2018 (n=160)



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Disposing – Destruction and transfer



Check-up PLUS



Just over one quarter of agencies usually or always automate identification and destruction of low value/risk information (27%). While the proportion of agencies that usually or always ensure business systems with high risk information are configured to identify information for disposal decreased (35%, compared to 37% in 2018), the proportion of agencies that often implemented this best practice increased noticeably (18%, compared to 12%).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

36% ensure RNA information assets across systems and location have been appropriately identified (up from 33% in 2018)

35% ensure business systems with high risk information are configured to identify information for disposal based on records authorities (down from 37% in 2018).

27% automate identification and destruction of low value and low risk information (up from 21% in 2018).

Ensure RNA information assets across systems and locations have been identified to ensure appropriate management and governance are in place.

2020 (n=169)

2018 (n=160)

Ensure business systems with high risk information are configured to identify information for disposal based on records authorities (including identifying Retain as National Archives or RNA).

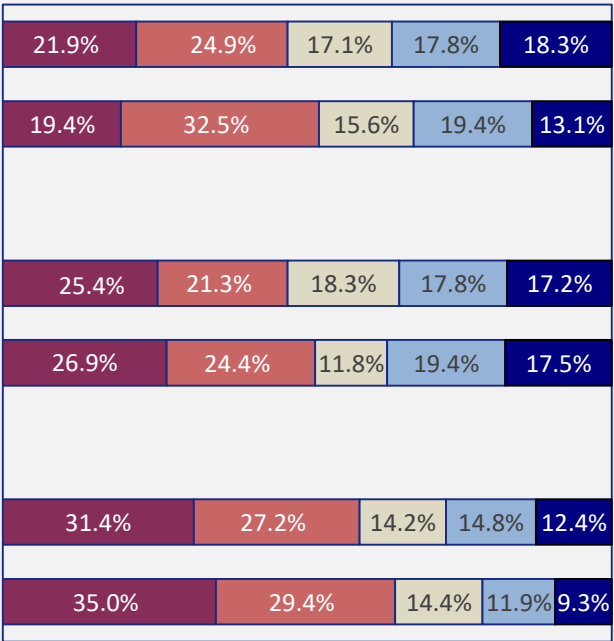
2020 (n=169)

2018 (n=160)

Automate identification and destruction of low value and low risk information.

2020 (n=169)

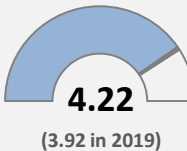
2018 (n=160)



■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Digital operations

Digital Operations Index



Check-up
PLUS



Almost all agencies usually or always work digitally by default (i.e. they manage, create and store information digitally). A similarly high proportion regularly have support from senior management for digital information management (88%). A lower share of agencies indicated their staff meet their digital information management roles and responsibilities (66%). Each of these areas recorded solid improvements since 2019.

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

92% work digitally by default (up from 81% in 2019)

88% of agencies' senior management support digital information management as a business priority (up from 77% in 2019)

66% of agencies' staff meet their digital information management roles and responsibilities (up from 54% in 2019)

Work digitally by default i.e. create, store and manage information digitally.

2020 (n=169)

2019 (n=166)

Senior management support digital information management as a business priority.

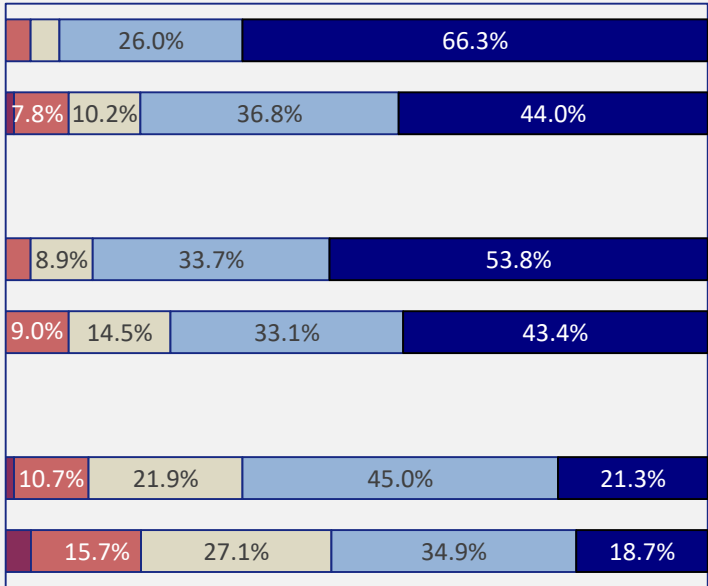
2020 (n=169)

2019 (n=166)

Staff meet their digital information management roles and responsibilities.

2020 (n=169)

2019 (n=166)



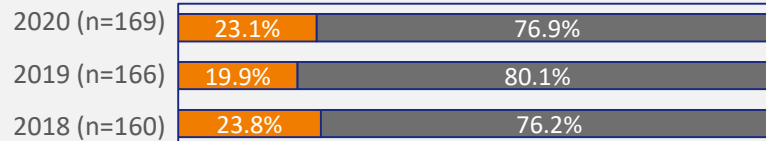
■ Rarely / never ■ Sometimes ■ Often ■ Usually / most of the time ■ Almost always / always

Records authorities and RNA arrangements

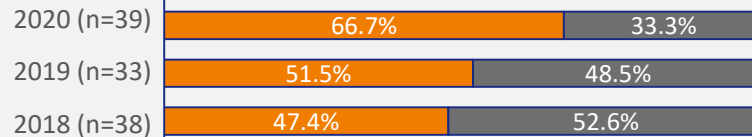


Compared to 2018, agencies in 2020 were less likely to have destroyed information in the past 12 months. The proportion of agencies planning to transfer RNA to the National Archives in the next 12 months remained consistent with previous years (23% in 2020). 84% of agencies have core business coverage, and 79% have accountable disposal policy and practices in place.

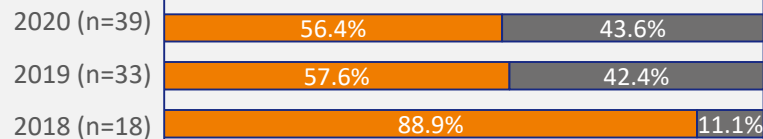
Is your agency planning to transfer RNA to the Archives in the next 12 months?



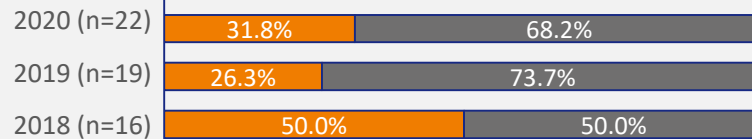
Is your planned transfer already on the Archives' National Transfer plan?



Has the RNA material been sentenced in preparation for transfer?



Has a declassification activity been completed for the proposed transfer?



Yes No

42% of agencies had destroyed information in the last 12 months (down from 53% in 2018)

In 2020, **23%** of agencies were planning to transfer RNA to the National Archives in the next 12 months.

67% of planned transfers were already on the National Archives' National Transfer plan.

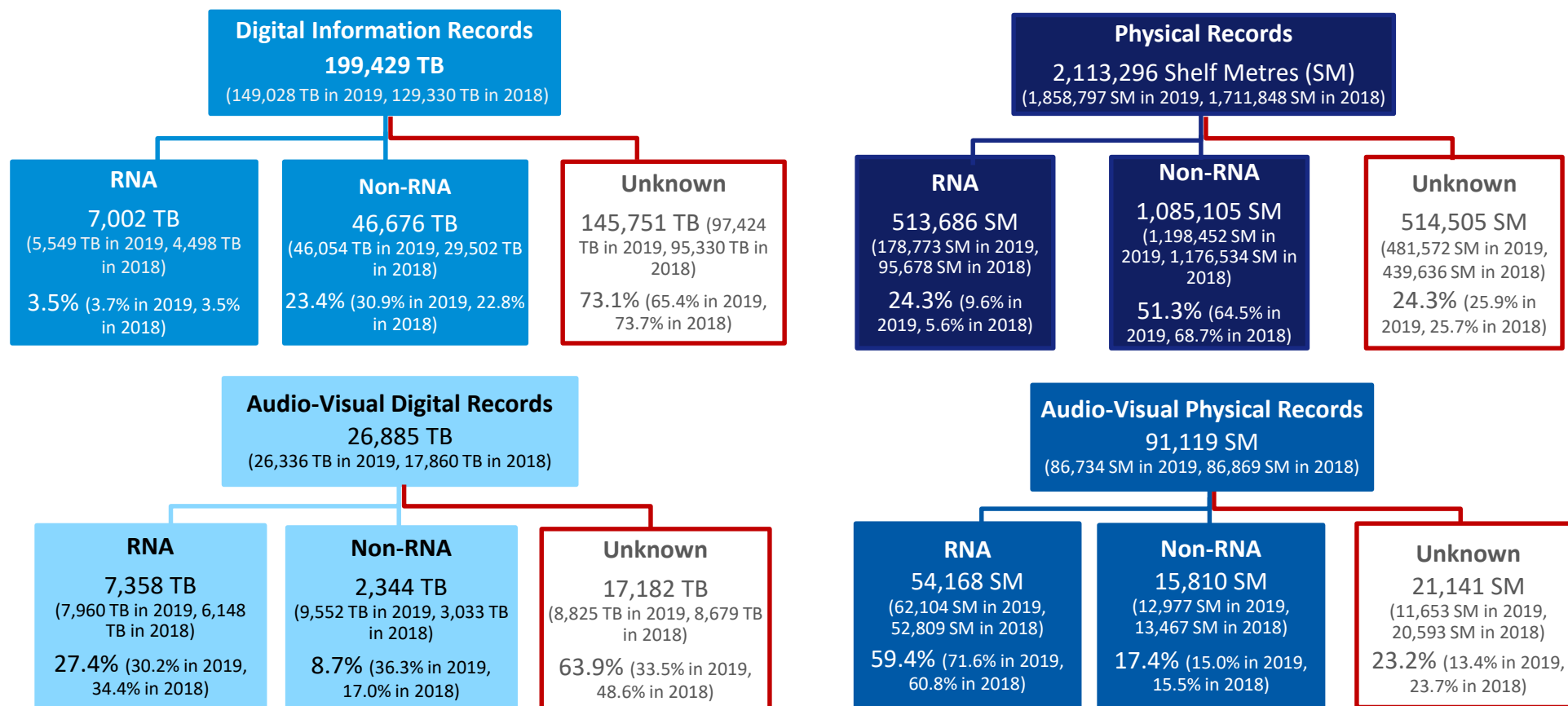
Of these, **56%** had sentenced the information in preparation for transfer and

32% had completed a declassification activity for the proposed transfer.

RNA volumes



Consistent with previous years, agencies continue to hold a higher proportion of RNA in physical records (24% for non-AV and 59% for AV) than in digital records (4% for non-AV and 27% for AV). The proportion of records with unknown disposal status has grown in most areas, including: digital information records (73%, up from 65% in 2019), AV digital records (73%, up from 65% in 2019), AV digital records (64%, up sharply from 34% in 2019), and AV physical records (23%, up from 13% in 2019).



Note: 2019 and 2018 numbers have been updated slightly from what was published in prior years' reports due to a data validation process that took place in 2020 among a small number of agencies.

Digital records sentenced



Compared to previous years, there has been a substantial increase in the proportion of records that have been sentenced – across each record type. This includes 34.3% of audio-visual physical records being sentenced in 2020 (compared to just 3.5% in 2019).

Digital Information Records

199,429 TB

(154,839 TB in 2019,
129,330 TB in 2018)

27.7% of digital information records have been sentenced
(12.5% in 2019, 12.3% in 2018)

Physical Records

2,113,296 Shelf Metres (SM)

(1,860,986 SM in 2019,
1,711,848 SM in 2018)

63.2% of physical records have been sentenced
(54.3% in 2019, 50.2% in 2018)

Audio-Visual Digital Records

26,885 TB

(26,562 TB in 2019, 17,860 TB in 2018)

8.3% of audio-visual digital records have been sentenced
(4.7% in 2019, 4.2% in 2018)

Audio-Visual Physical Records

91,119 SM

(86,870 SM in 2019,
86,869 SM in 2018)

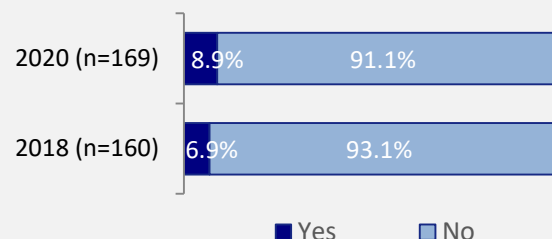
34.3% of audio-visual physical records have been sentenced
(3.5% in 2019, 4.4% in 2018)

Outsourcing arrangements

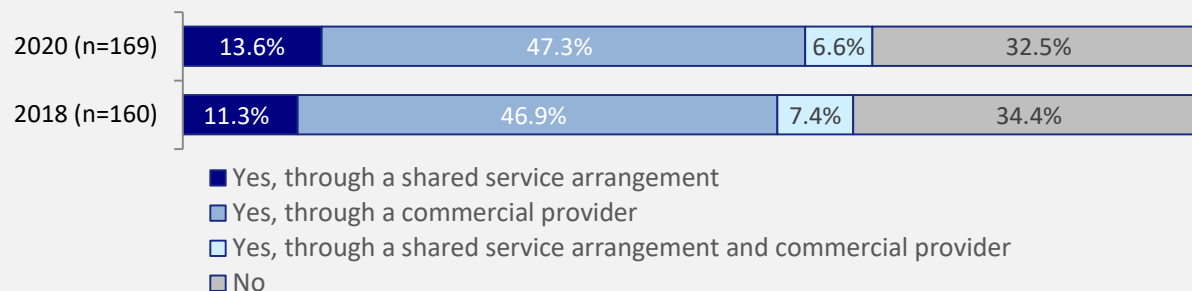


Almost one in ten agencies in 2020 indicated they are a provider of shared services for information management (9%, up slightly from 7% in 2018). Similarly to 2018, around two-thirds of agencies outsource the delivery of information management services – with the use of a commercial provider being the most common option.

Is your agency a provider of shared services for information management?



Do you outsource the delivery of information management services, either through shared service arrangements or through a commercial service provider?



9% are providers of shared services for information management (7% in 2018)



47% outsource the delivery of information management services through a commercial service provider (also 47% in 2018)



33% do not outsource the delivery of information management services (34% in 2018)

Average cost of outsourcing contracts:

\$323,995.39 Shared service (\$111,013.95 in 2018)

\$441,056.84 Commercial provider (\$431,892.40 in 2018)

\$448,518.53 Overall average* (\$405,804.38 in 2018)

* Average cost across agencies that outsource via shared services and/or commercial providers.

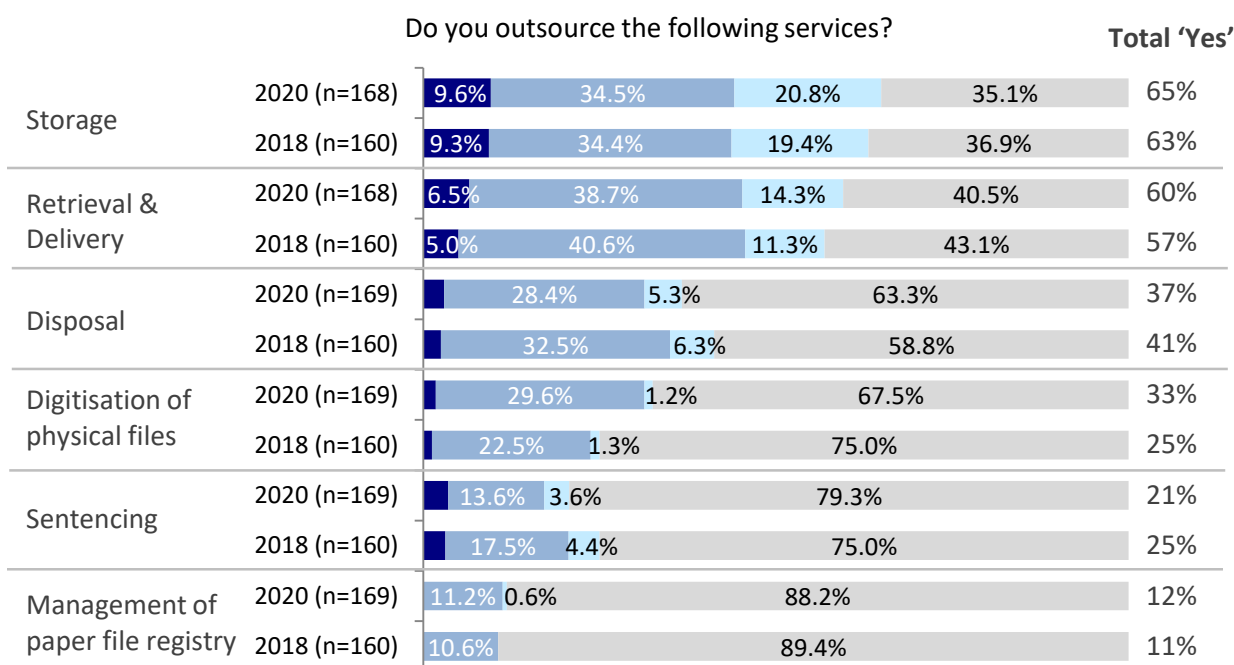


76% of agencies that outsource the delivery of information management services participate in a single shared service arrangement (70% in 2018)

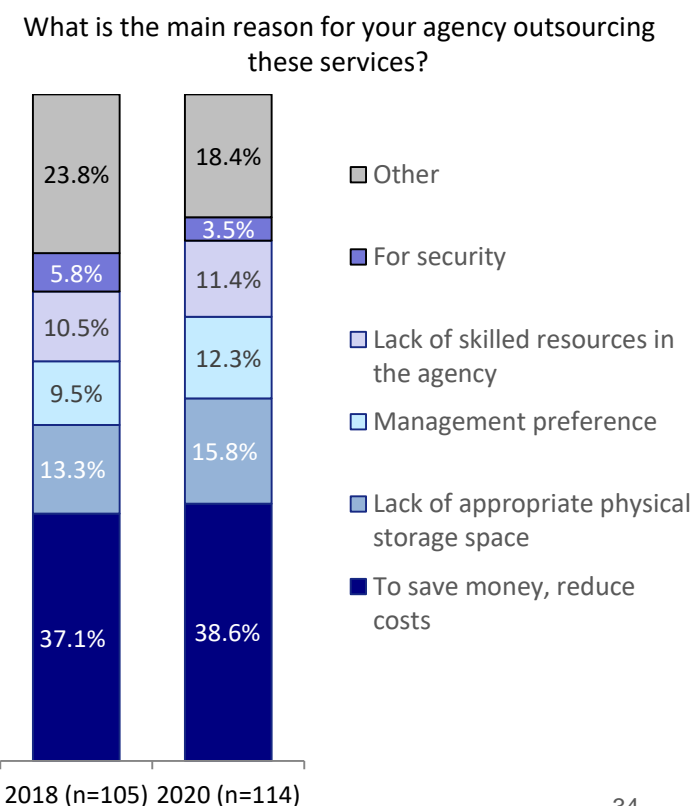
Outsourcing arrangements - services



The results for services outsourced and reasons for outsourcing these services remained broadly similar between 2018 and 2020. Storage, and Retrieval and Delivery remain the most common services to be outsourced, and saving money is often a key motivator for outsourcing.



- Yes, for digital information only
- Yes, for physical / analogue information only
- Yes, for both digital and physical / analogue information
- No, we do not outsource this service



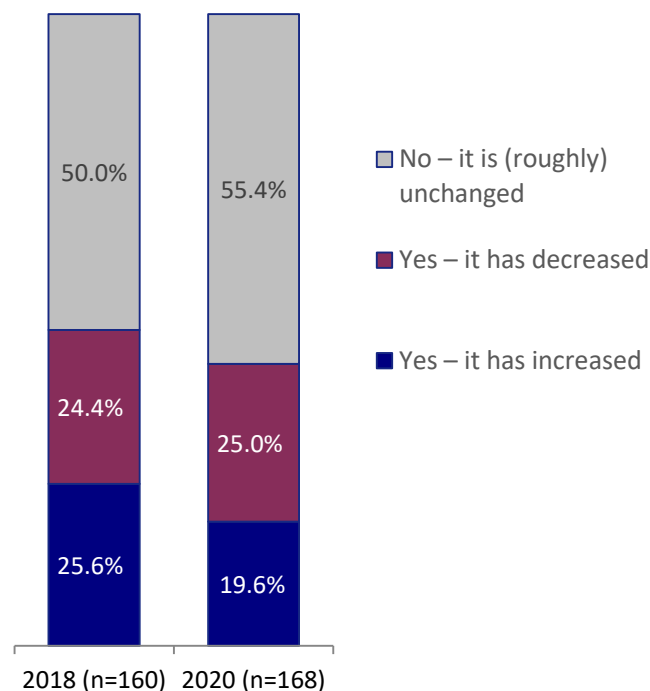
Costs and efficiencies



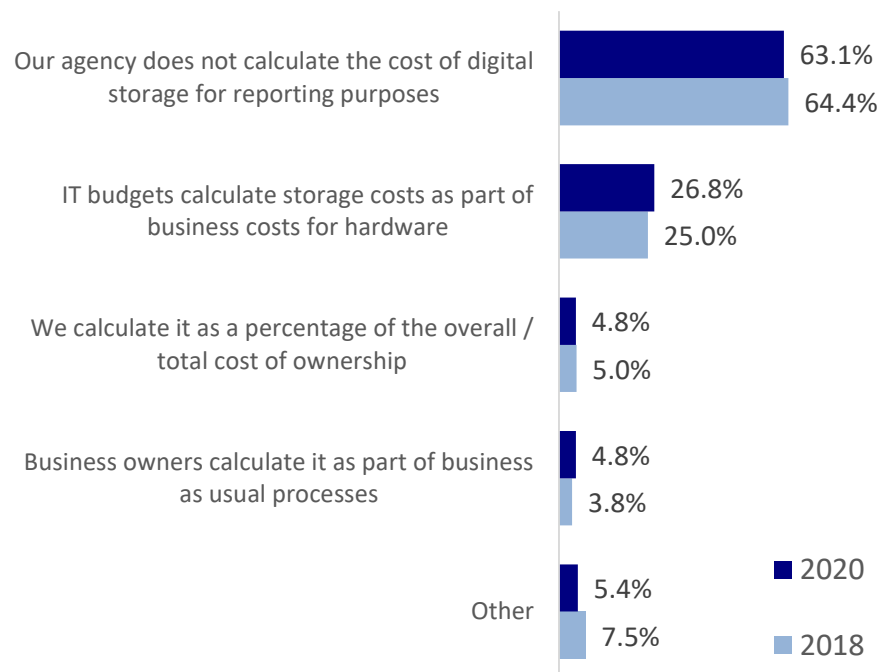
Almost two-thirds of agencies reported they **do not** calculate the cost of digital storage for reporting purposes (consistent with 64% in 2018)

One in four agencies (25%) reported an **increase** in their volume of physical records in the past 12 months, while 20% reported a **decrease**.

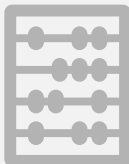
Has the volume of physical records in storage changed in the last 12 months?



How does your agency calculate the cost of digital storage for reporting purposes?

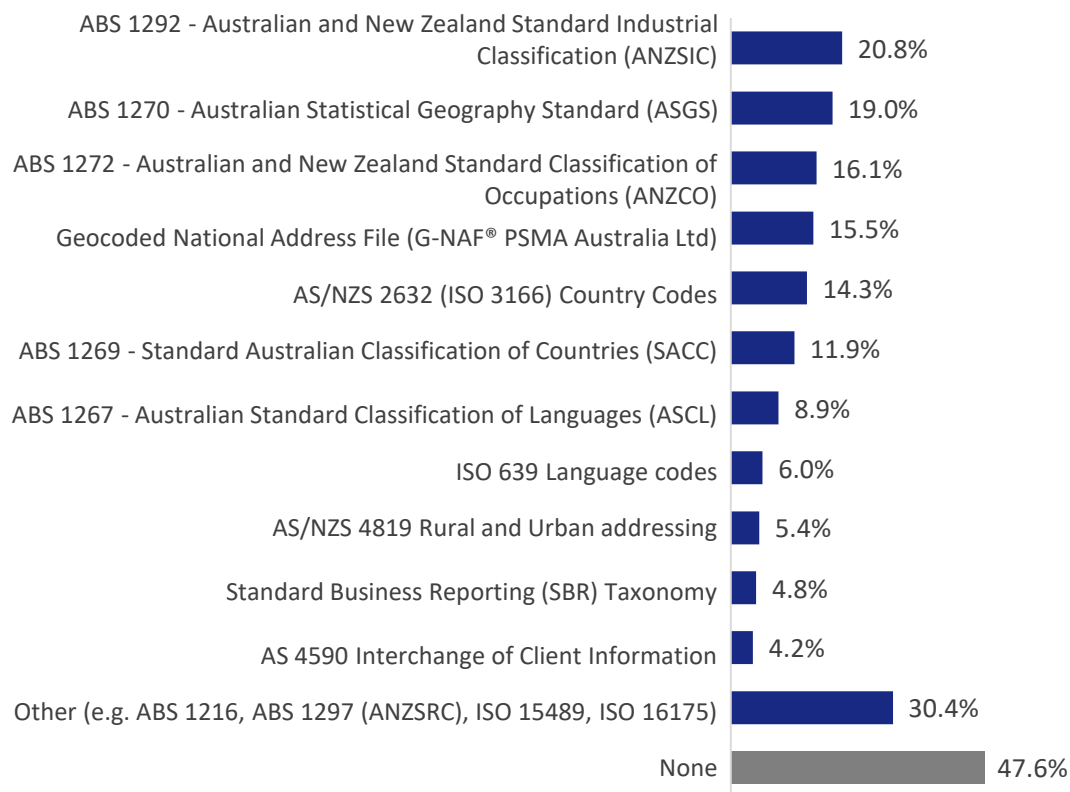


Metadata management

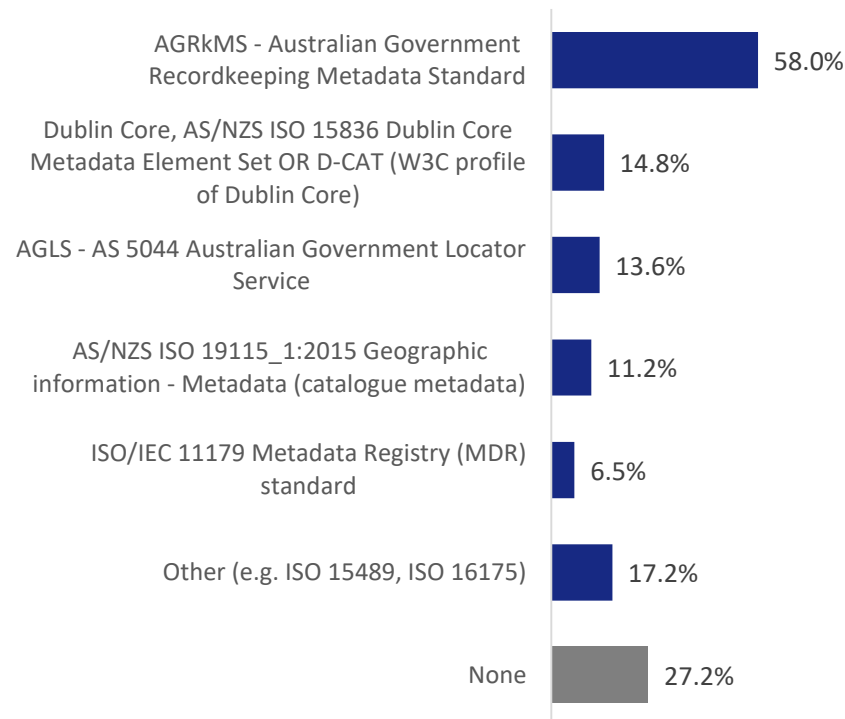


Agencies were more likely to use a metadata standard (73%) than a data standard (52%). The most common metadata standard (by a considerable margin) was the Australian Government Recordkeeping Metadata Standard (AGRkMs) – used by 58%, while there were broader range of more common data standards.

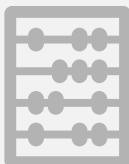
What *data standards* does your agency use?



What *metadata standards* does your agency use?



Metadata management



Almost half of all agencies rarely or never make metadata available or accessible to external agencies or organisations (48%). A similar proportion also rarely or never ensure data exchanges with other agencies are accompanied with metadata or data dictionaries (48%).

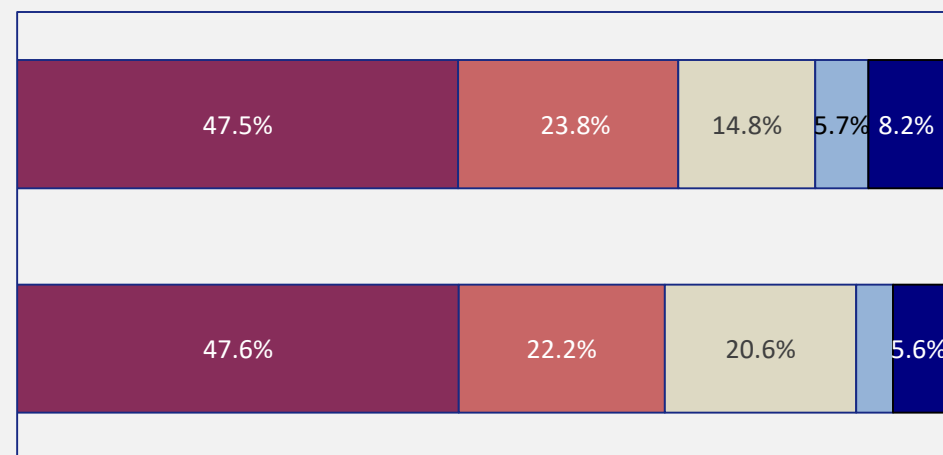
The proportion of agencies that had implemented the following practices usually or always:

14% ensure data exchanges with other agencies are accompanied by metadata / data dictionaries

10% make metadata available / accessible externally to the agency / organisation

Ensure data exchanges with other agencies are accompanied by metadata/data dictionaries.

Make metadata available/accessible externally to the agency/organisation.



■ Rarely / never

■ Often, for our high value information

■ Almost always / always

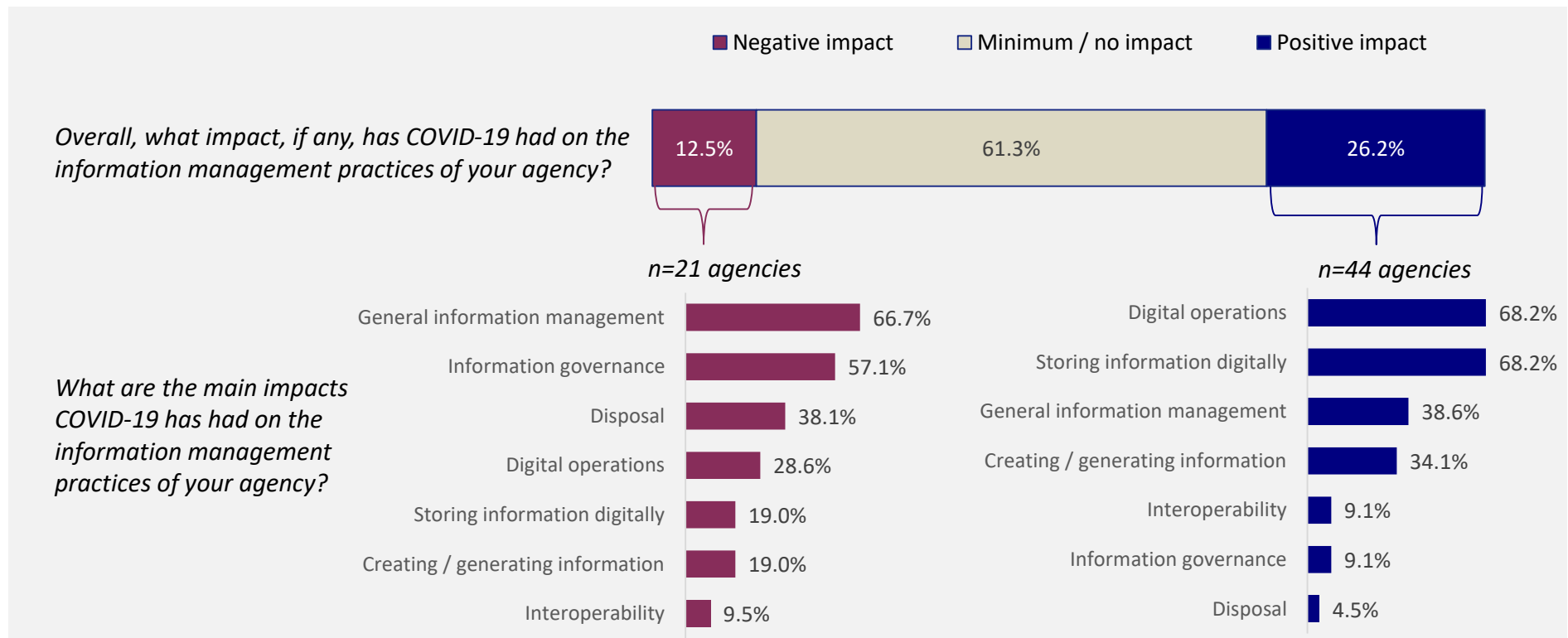
■ Sometimes, for our highest value assets

■ Usually, with only low value or legacy still to be managed

Impact of COVID-19



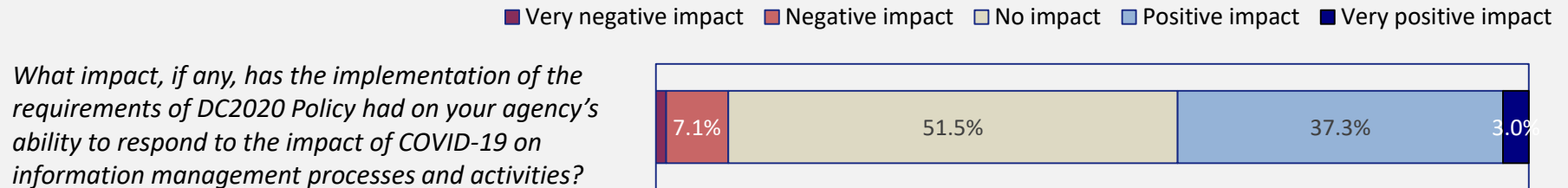
The majority of agencies felt that COVID-19 did not have an impact on their information management practices. Those agencies that felt it had a positive impact (26%) were more likely to highlight the impact of COVID-19 on digital operations and storing information digitally. Conversely, those that felt it had a negative impact (13%) highlighted general information management and information governance as the main aspects affected.



Impact of COVID-19: DC2020



More than one-third of agencies (40%) indicated that the DC2020 Policy had a positive impact on their agency's ability to respond to the impact of COVID-19 on its information management processes and activities. Only 8% felt it had a negative impact, and just over half felt it had no impact (51%).



"Small organisation has meant that redirection of resources to deal with impact of COVID-19 has had a negative impact on ability to implement DC2020 policy."
(Negative impact)

"Unable to assess the physical records storage to enable digitisation where needed due to restrictions placed on office workspace attendance."
(Negative impact)

"We have had the technology and processes in place for digital and remote workforce for some time, and the impact of COVID-19 has been limited to our business as usual."
(No impact)

"The agency is able to work remotely effectively."
(No impact)

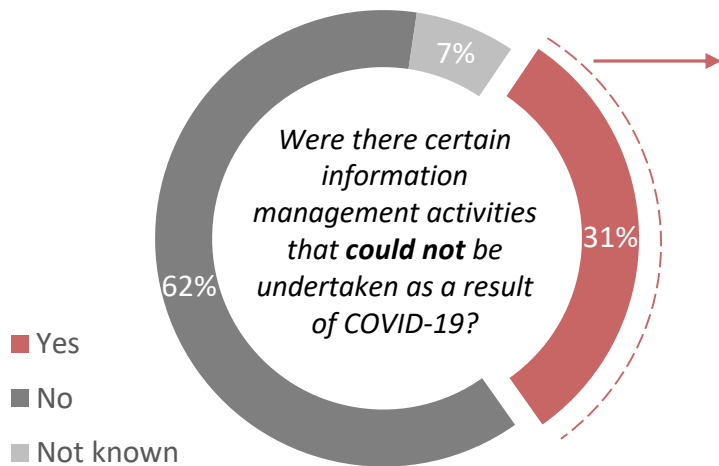
"Having digitised information resources supported remote working and ensured vital client facing core business continuity."
(Positive impact)

"Earlier work undertaken for DC2020 allowed a smoother transition to working remotely during the COVID-19 lockdown response. As a result, staff realise the possibilities and benefits to having information discoverable and accessible remotely; different sections and teams have actively sought and requested digitisation of physical material which has promoted digitisation projects and identified digitisation priorities."
(Positive impact)

Impact of COVID-19



Almost one-third of agencies reported that there were certain information management activities that could not be undertaken due to COVID-19. These agencies commonly highlighted work at home requirements preventing them from accessing sites where physical records could be transported or disposed of.



Conversion of paper-based employment records received prior to 2012 to digital copies was placed on hold.

Physical records not retrieved from offsite storage - only high priority retrievals possible to provide access for business use.

Sentencing capability was reduced due to staff working from home.

Physical file storage processes were limited whilst working remotely.

*What are the main information management activities that **could not** be undertaken as a result of COVID-19?*

Unable to dispose of physical records when working from home (COVID-19).

Remote working caused secure communication issues, agency-wide roll out of Microsoft Teams was required.

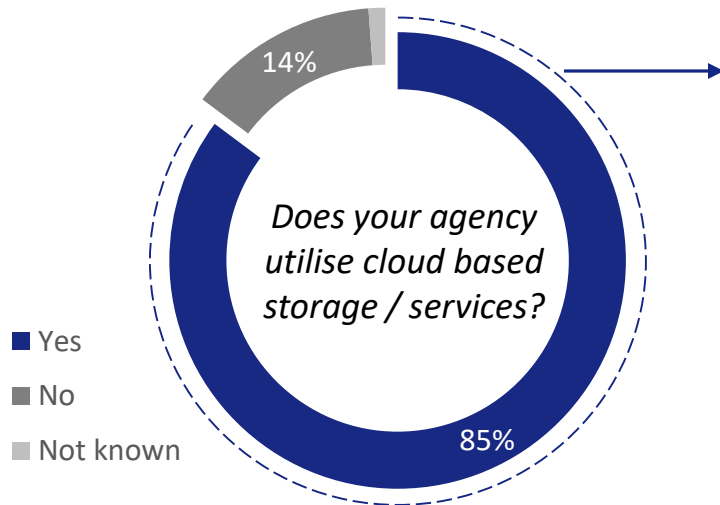
Network drive clean up activities did not commence.

Sentencing and subsequent transfer to storage of physical records was delayed.

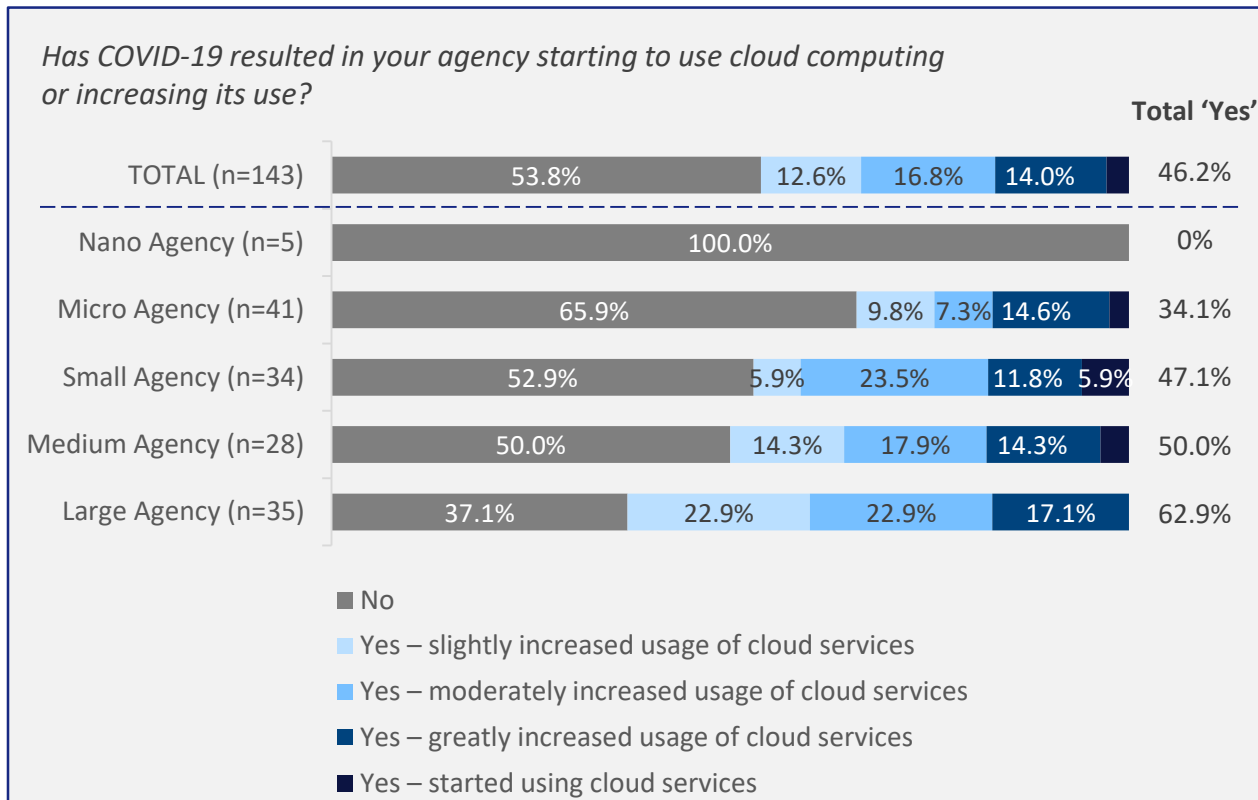
Use of Cloud Based Storage / Services



The majority of agencies (85%) utilised cloud based storage or services. Almost half of agencies recorded at least some increase in usage of cloud storage as result of COVID-19, this was most common among larger agencies.



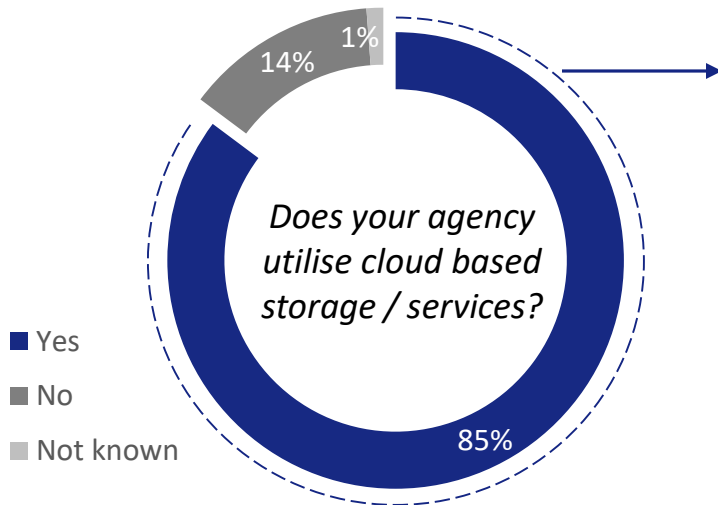
12,240 TB – Total volume of agency data in cloud based storage
40.3% - Average proportion of data in cloud based storage per agency



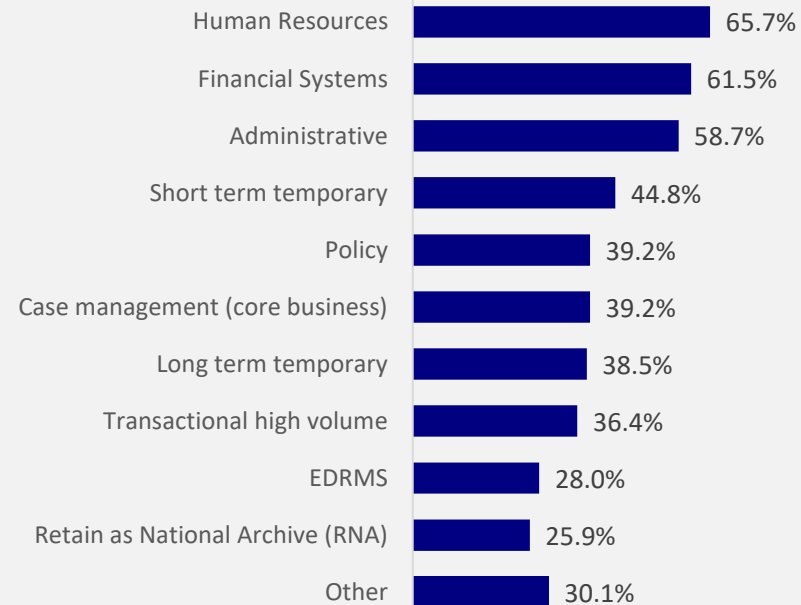
Use of Cloud Based Storage / Services



Among agencies that use cloud based storage or services, the most common types of information or systems stored in the cloud include: human resources (66%), financial systems (62%), and administrative (59%).



Please list what types of information or systems are stored in the cloud?
(n=143)



Digital Continuity 2020 Policy Objectives

The **Digital Continuity 2020 Policy** plays a key role in supporting the Australian Government's digital transformation initiatives and driving e-government. Agencies that understand and fully realise the benefits of their assets – information, technology, people and processes – will deliver better and more efficient services to Australians.

The policy enables the integration of information governance principles and practices into the work of agencies and their governance arrangements to:

- optimise the delivery of government programs and services
- enable information reuse for economic and social benefits
- protect the rights and entitlements of Australians

The policy promotes a consistent approach to information governance across the Australian Government and within individual agencies. It applies to government information, data and records, as well as systems, services and processes, including those created or delivered by third parties on behalf of Australian Government agencies.

The policy is built on three principles:

- information is valued
- information is managed digitally
- information, systems and processes are interoperable

This section summarises agency progress towards the objectives of the Digital Continuity 2020 Policy.

Principle 1 – Information is valued



The 2020 Check-up PLUS survey showed positive progress from agencies towards achieving a range of recommended actions. This included solid improvements in agencies managing their information assets for as long as they are required (action 4) and agencies meeting targets for skilled staff (action 5).

Key: Indicates a 2020 result that is at least 5 percentage points higher or lower than 2019

Recommended Actions*	Target Date	Check-up Plus Measure (% Almost always/ always + % Usually/ most of the time)	2020	2019	2018
#1 Information governance reporting	Annually until 31 December 2020	Submission of approved information management survey (Check-up PLUS)	96%	98%	97%
#2 Agencies have established an information governance committee	30 June 2016	Staff meet their digital information management roles and responsibilities	66%	54%	This measure was not included in the 2018 analysis
		Does your agency have a formal governance mechanism with broad representation that ensures information management requirements are considered when making decisions? <i>[Yes, for all agency information management decisions]</i>	51%	49%	49%
#3 Agencies have an information governance framework	31 December 2016	Senior management support digital information management as a business priority.	88%	77%	This measure was not included in the 2018 analysis
		Information governance is implemented holistically to ensure complete & consistent management of all information assets.	51%	47%	43%
#4 Agencies manage their information assets for as long as they are required	31 December 2020	Implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required.	61%	54%	46%
		Establish governance across all business systems for the identification, destruction or transfer of agency information assets.	51%	43%	42%
#5 Agencies meet targets for skilled staff	31 December 2020	Staff meet their digital information management roles and responsibilities	66%	54%	This measure was not included in the 2018 analysis
		Everyone has had access to appropriate training to develop contemporary information management skills.	62%	57%	53%
		Information management roles and responsibilities are established and articulated throughout the agency.	63%	54%	53%

* The DC2020 Policy is described here: <https://www.naa.gov.au/information-management/information-management-policies/digital-continuity-2020-policy>.

Principle 2 – Information is managed digitally



Most agencies work digitally by default (92%), but only half use appropriate technologies to help automate processes (50%); both results continue a positive trend in results seen from earlier years.

Solid gains were also made in senior management support for digital information as a business priority and agencies continually identifying and removing paper from processes for efficiency reasons.

Key: Indicates a 2020 result that is at least 5 percentage points higher or lower than in 2019

Recommended Actions*	Target Date	Check-up Plus Measure (% Almost always/ always + % Usually/ most of the time)	2020	2019	2018
#6 Agencies' business interactions, decisions and authorisations are recorded digitally. Exemptions are based on legislative or agency specific requirements and are endorsed by the agency Information Governance Committee	31 December 2020	Use appropriate technologies to automate processes.	50%	45%	31%
		Work digitally by default i.e. create, store and manage information digitally.	92%	81%	This measure was not included in the 2018 analysis
#7 Information in analogue formats is migrated to digital format, where there is value for business	31 December 2020	Senior management support digital information as a business priority.	88%	77%	This measure was not included in the 2018 analysis
		Continually identify and remove paper from internal and external processes to improve efficiency	79%	71%	58%


* The DC2020 Policy is described here: <https://www.naa.gov.au/information-management/information-management-policies/digital-continuity-2020-policy> .

Principle 3 – Information, systems and processes are interoperable



Since 2018, there has been gradual progress from agencies in managing information based on format and metadata standards for information governance and interoperability (action 8). More solid improvements were recorded for ensuring all business systems meet functional requirements for information management (action 9).

Key: Indicates a 2019 result that is at least 5 percentage points higher or lower than in 2018

Recommended Actions*		Target Date	Check-up PLUS Measure (% Almost always/ always + % Usually/ most of the time)	2020	2019	2018
#8	Information is managed based on format and metadata standards for information governance and interoperability	31 December 2020	Adopt relevant metadata standards at the appropriate level, for example: enterprise, domain, government, international. <i>[Is in place but needs to be updated/ revised or is in place and up-to-date/ current]</i>	44%	42%	36%
			Collect descriptive information (metadata) in line with the Information Management Standard. (i.e. accurate, understood and meets your business needs).	45%	41%	39%
<hr/>						
#9	All business systems meet functional requirements for information management	31 December 2020	Ensure new or updated business systems and services have the capacity to manage information in place for its whole life.	51% 	45%	38%
<hr/>						
#10	Cross agency and whole of government processes incorporate information governance requirements and specifications	31 December 2020	This action relates to multi-agency initiatives and cannot be responded to by individual agencies at present. The National Archives will introduce a new measure in future surveys to assess this action.	37%	-	-

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Further information and resources

If you have any queries about Check-up PLUS, please email the Agency Engagement Team at the National Archives at information.management@naa.gov.au.

Please contact ORIMA Research at Check-upPLUS@orima.com if you have any questions about accessing or using the online report.

Please visit the National Archives website for more information about Check-up PLUS:
<https://www.naa.gov.au/information-management/check-plus>

This project was conducted in accordance with the international quality standard ISO 20252 and the Australian Privacy Principles contained in the Privacy Act 1988.



Australian Government
National Archives of Australia

